STIC Database Tracking Number:

To: Bartley, Kenneth Location: KNX 05 B49 Art Unit: 3693 Date: 07/13/10 Case Serial Number: 09/801,848	From: Paul Obiniyi Location: EIC3600 KNX 04 B68/ Rm04 B71 Phone: (571) 272-27734 paul.obiniyi@uspto.gov

Search Notes

Dear Examiner Bartley:

Please find attached the results of your search for the above-referenced case. The search was conducted in the template files.

I have listed *potential* references of interest in the first part of the search results. However, please be sure to scan through the entire report. There may be additional references that you might find useful.

If you have any questions about the search, or need a refocus, please do not hesitate to contact me.

Thank you for using the EIC, and we look forward to your next search!

   Paul

EIC-Searcher identified "potential references of interest" are selected based upon their apparent relevance to the terms/concepts provided in the examiner's search request.

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I. Potential References of Interest

A. Dialog

00724743
Knowledge base management system with enhanced explanation of derived information and of error objects.
Wissensbasis-Verwaltungssystem mit verbesserter Erklarung der erhaltenen Information und der Fehlerobjekte.
Systeme de gestion d'une base de connaissances avec l'explication amelioree de l'information derivee et des objets d'erreur.
PATENT ASSIGNEE:
 AT&T Corp., (589370), 32 Avenue of the Americas, New York, NY 10013-2412, (US), (applicant designated states: DE; FR; GB; IT)
INVENTOR:
 McGuinness, Deborah L., 19 Hillside Avenue, Summit, New Jersey 07901, (US)
 Resnick, Lori Alperin, 129 Harper Street, Highland Park, New Jersey 08904 , (US)
 Patel-Schneider, Peter, 405 Woodland Avenue, Westfield, New Jersey 07090, (US)
LEGAL REPRESENTATIVE:
 Johnston, Kenneth Graham et al (32381), AT&T (UK) Ltd. 5 Mornington Road, Woodford Green Essex, IG8 OTU, (GB)
PATENT (CC, No, Kind, Date): EP 684554 A1 951129 (Basic)
APPLICATION (CC, No, Date): EP 95303295 950517;
PRIORITY (CC, No, Date): US 249113 940525
DESIGNATED STATES: DE; FR; GB; IT
INTERNATIONAL PATENT CLASS (V7): G06F-009/44;
ABSTRACT WORD COUNT: 245

LANGUAGE (Publication,Procedural,Application): English; English; English
FULLTEXT AVAILABILITY:
Available Text Language Update   Word Count
    CLAIMS A (English) EPAB95   981
    SPEC A   (English) EPAB95   26213
Total word count – document A   27194
Total word count – document B   0
Total word count – documents A + B 27194

...SPECIFICATION 20, such as the hierarchy shown in FIG. 2a.
  It is noted that a knowledge **representation
 system** 15 typically calculates and maintains the
 dependency relationships between pieces of information in the knowledge
 base 20 in **order** to efficiently update
 related information that is dependent upon information
 that is added or updated in the knowledge base...

...in the field 520. For a detailed discussion of the manner in which a

knowledge **representation system** 15
maintains dependency information, and in particular, the maintenance of
dependency information that is implicated...

30/3,K/5   (Item 1 from file: 349)
DIALOG(R)File 349: PCT FULLTEXT
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00844333   **Image available**
PLATFORM FOR MARKET PROGRAMS AND TRADING PROGRAMS
PLATE-FORME POUR PROGRAMMES DE MARCHE ET PROGRAMMES DE NEGOCE
Patent Applicant/Assignee:
  EXCHANGELAB INC, 145 Hudson Street, Floor 7, New York, NY 10013, US, US
    (Residence), US (Nationality), (For all designated states except: US)
Patent Applicant/Inventor:
  KEITH Christopher, 105 Hudson Street, Apt. 5S, New York, NY 10013, US, US
    (Residence), US (Nationality), (Designated only for: US)
Legal Representative:
  POMERANCE Brenda (agent), Law Office of Brenda Pomerance, 260 West 52 St.
    Apt. 27B, New York, NY 10019, US,
Patent and Priority Information (Country, Number, Date):
  Patent: WO 200177943 A1 20011018 (WO 0177943)
  Application: WO 2001US10712 20010402 (PCT/WO US0110712)
  Priority Application: US 2000546031 20000410; US 2001801848 20010308
Designated States:
(Protection type is "patent" unless otherwise stated - for applications
prior to 2004)
  AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CR CU CZ DE DK DM DZ EE
  (AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW
  (EA) AM AZ BY KG KZ MD RU TJ TM
Publication Language: English
Filing Language: English
Fulltext Word Count: 53155

Fulltext Availability:
  Detailed Description
  Claims

Claim
... process having a market methodology selected from a set of
  market methodologies, and
  operating a **representation process**
  for selectively transmitting an order action between the market process
  and an external market.
  101. The method of claim 100, wherein selectively transmitting includes
  selectively **converting** the **order**
  action to a **converted** action.
  102. Themethodofclaiml0l,whereinwhentheorderactionisanexecute
  operation, the converted action is a cancel operation. 103. The method...
...a post operation, the selectively converting is inhibited.
  104. ThemethodofclaimlOO,whereinwhenaresponsetotheorderactionhasnot
  been received by the **representation**
  process within a predetermined time, the
  representation process
  automatically sends a zero action to the one of the market process and
  the external...

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00563372   **Image available**
COMPUTER-IMPLEMENTED SECURITIES TRADING SYSTEM WITH VIRTUAL CURRENCY AND
   VIRTUAL SPECIALIST
SYSTEME INFORMATIQUE DESTINE AU COMMERCE DE VALEURS BOURSIERES, AVEC DEVISE
   VIRTUELLE ET SPECIALISTE VIRTUEL
Patent Applicant/Assignee:
  HSX INC, 225 Arizona Avenue, Suite 250, Santa Monica, CA 90401, US, US
   (Residence), US (Nationality)
Inventor(s):
  KEISER Timothy M, 1322 Wellesley Avenue #5, Los Angeles, CA 90025, US,
  BURNS Michael R, 8365 Sunset View, Los Angeles, CA 90069, US,
Legal Representative:
  LIBERCHUK Larry (agent), Brown Raysman Millstein Felder & Steiner,
   LLP, 120 West 45th Street, New York, NY 10036, US,
Patent and Priority Information (Country, Number, Date):
  Patent: WO 200026745 A2-A3 20000511 (WO 0026745)
  Application: WO 99US25793 19991102 (PCT/WO US99025793)
  Priority Application: US 98184571 19981102; US 99382907 19990825
Designated States:
(Protection type is "patent" unless otherwise stated - for applications
prior to 2004)
  AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE
  (EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE
Publication Language: English
Filing Language: English
Fulltext Word Count: 16385

Fulltext Availability:
  Detailed Description
  Claims

Claim
... second trader's account in the electronic currency for the executed
  buy orders by
  the **second** trader.

  15 A **method** for conducting market research by
  regulating **market** price in a computerized
  trading system, the
  system receiving **buy** orders and
  sell orders for a plurality of securities, the
  method comprising:
  computing a plurality of buy-sell...

...imbalances between buy orders and sell orders for the security after
  fulfilling a plurality of **trade**
  orders; computing **matching**
  projected price movements for the plurality of trade
  orders by retrieving a **matching**
  plurality of security price thresholds from a database, comparing the
  matching security price thresholds to...

                                               5

0010766345 - Drawing available
WPI ACC NO: 2001-380421/200140
Related WPI Acc No: 2000-423092; 2001-450390
XRPX Acc No: N2001-278882
Computer based secondary **market** shares
transaction method for investment
companies, involves scanning database for matching **sell**
and **buy** orders and execution **trade**
upon match between **buy** and **sell** order
Patent Assignee: SHKEDY G (SHKE-I)
Inventor: SHKEDY G
Patent Family (1 patents, 1 countries)

Patent			Application				
Number	Kind	Date	Number	Kind	Date	Update	
US 6236972	B1	20010522	US 1998203843	A	19981202	200140	B
			US 1998217663	A	19981221		

Priority Applications (no., kind, date): US 1998203843 A 19981202; US
1998217663 A 19981221

Patent Details

Number	Kind	Lan	Pg	Dwg	Filing Notes	
US 6236972	B1	EN	31	15	C-I-P of application	US 1998203843

Computer based secondary **market** shares
transaction method for investment
companies, involves scanning database for matching **sell**
and **buy** orders and execution **trade**
upon match between **buy** and **sell** order

Alerting Abstract ...to buy order and buyer are stored in a database. The
database is scanned for **matching** sell and buy
orders. Trade is executed upon a match between sell and
buy order and confirmation of transaction...
...to buy order and buyer are stored in the database. The database is
scanned for **matching** sell and buy
orders. Trade is executed upon match between sell and
buy orders. Transaction confirmation is forwarded to...

Original Publication Data by Authority

Argentina

Assignee name & address:
Claims:
A computer based <B> method for
facilitating a **secondary**
market transaction
of shares of investment companies
between at least one buyer, an intermediate, and a seller,
comprising:receiving...

...storing said buy order and buy tracking identification to said
database;scanning the database for **matching** sell
and buy **orders**;binding the buyer to
the intermediate;executing **trade** upon a match;
forwarding trade confirmation to

a transfer agent; andforwarding confirmations of
transaction to the buyer and the seller.

30/3,K/11   (Item 7 from file: 349)
DIALOG(R)File 349: PCT FULLTEXT

00801786   **Image available**
TRADING SYSTEM FOR PROCESSING MARKET DATA AND METHOD FOR USE
SYSTEME DE MARCHE DE TITRES PERMETTANT DE TRAITER DES DONNEES DE MARCHE, ET
   SON PROCEDE D'UTILISATION
Patent Applicant/Assignee:
  RZUCIDLO Eugene C, Greenberg Traurig LLP, 885 Third Avenue, New York, NY
    10022, US, US (Residence), US (Nationality)
Patent Applicant/Inventor:
  MOORE Edward L, Tradelabs Corporation, 23 Lakeshore Road, Beaconfield,
    Quebec H9N 4HW, CA, CA (Residence), GB (Nationality)
Legal Representative:
  RZUCIDLO Eugene C (et al) (agent), Greenberg Traurig LLP, 885 Third
    Avenue, New York, NY 10022, US,
Patent and Priority Information (Country, Number, Date):
  Patent: WO 200135309 A1 20010517 (WO 0135309)
  Application: WO 2000US31172 20001113 (PCT/WO US0031172)
  Priority Application: US 99438240 19991112
Designated States:
(Protection type is "patent" unless otherwise stated - for applications
prior to 2004)
Publication Language: English
Filing Language: English
Fulltext Word Count: 7703

Fulltext Availability:
  Detailed Description
  Claims

Claim
... the trading
  system scheduler also for maintaining a last completion
  time for each of the **two** or more trading system
  requests;
  enhanced **trading systems** for
  requesting
  aggregate interval data necessary to run one of the
  trading systems associated with the
  two or more **trading**
  system requests, and for providing the aggregate
  interval
  data to the **trading system**;
  a **trading system** for initiating a
  buy or **sell**
  signal based upon the aggregate interval data supplied;
  and
  a customer notification module for notifying...

B. Additional Resources Searched

27/140-PLUSPAT-©Questel
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Publication Stage
(B1) Granted patent as first publication
Patent Number
US7383220 B1 20080603 [US7383220]
Title
(B1) Automated short term option order processing
Abstract
A trading process automatically requests a short term option having a term of less than a minute, and sometimes less than a second, from a market process. The trading process and the market process both operate on a platform. The market process requests a platform service to set a timer to measure the expiration time of the short term option, and to notify the market process and the trading process at the expiration of the short term option. The short term option is particularly useful for a list of orders that must be executed, if at all, at a guaranteed price; in which case, the platform may adjust the expiration time of the short term options associated with the orders in the list to ensure that the orders in the list can be executed at particular respective prices.
Application Nbr
US09802088 20010308 [2001US-0802088]
Filing Details
CIP of: US09546031 20000410 [2000US-0546031]
Priority Details
US80208801 20010308 [2001US-0802088]
US54603100 20000410 [2000US-0546031]
Inventor(s)
(B1) KEITH CHRISTOPHER (US)
Patent Assignee
(B1) STIKINE TECHNOLOGY LLC (US)
Patent Assignee
Stikine Technology, LLC, Las Vegas NV [US]

30/11/09 1 20°59'10
41/140-PLUSPAT-©Questel
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Publication Stage
(A1) First published patent application
Publication Stage 2
(B2) Granted patent as second publication
Patent Number
US2007005488 A1 20070104 [US20070005488]
Patent Number 2
US7383222 B2 20080603 [US7383222]
Title
(A1) ROUTING CONTROL FOR ORDERS ELIGIBLE FOR MULTIPLE MARKETS
Abstract
Trading processes are operative to route orders from order rooms to market processes, which process the orders according to respective market methodologies. The order routing strategy can be embodied in a decision table having rules with conditions and actions to be taken when the conditions are true. Accordingly, order rooms can readily configure and reconfigure trading processes.
Application Nbr
US11469470 20060831 [2006US-0469470]
Filing Details
Division of: US09801495 20010308 [2001US-0801495]
CIP of: US09546031 20000410 [2000US-0546031]
Previous Publication: US20070005488 A1 20070104
Priority Details

US46947006 20060831 [2006US-0469470]
US80149501 20010308 [2001US-0801495]
US54603100 20000410 [2000US-0546031]
Inventor(s)
(A1) KEITH CHRISTOPHER (US)
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Patent Assignee
(A1) KEITH CHRISTOPHER
Patent Assignee
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Patent Assignee 2
(B2) STIKINE TECHNOLOGY LLC (US)

54/140-PLUSPAT-©Questel
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Publication Stage
(B1) Granted patent as first publication
Patent Number
US7136834 B1 20061114 [US7136834]
Title
(B1) Electronic securities marketplace having integration with order management systems
Abstract

An electronic trading marketplace (ETM) communicates with interfacing modules interfacing directly with order management systems (OMS's) at trading institutions. The interfacing modules automatically transmit orders from the OMS databases to the ETM and update the OMS databases in response to orders executed at the ETM. Traders can communicate with the ETM to anonymously negotiate trades of securities.

Application Nbr
US09834171 20010412 [2001US-0834171]
Filing Details
Provisional Appl: US60242373 20001019 [2000US-P242373]
Priority Details
US83417101 20010412 [2001US-0834171]
US24237300P 20001019 [2000US-P242373]
Inventor(s)
(B1) MERRIN SETH I (US); HALLORAN JOHN (US); KOSOFSKY DEMIAN (US); LUPOWITZ KEVIN (US)
30/11/09 3 20°59°10
Patent Assignee
(B1) LIQUIDNET INC (US)
Patent Assignee
Liquidnet, Inc., New York NY [US]

92/140-PLUSPAT-©Questel
Publication Stage
(D0) Patent application filed
Publication Stage 2
(A) Published patent application
Patent Number
GB0313935 D0 20030723 [GB200313935]
Patent Number 2
GB2386229 A 20030910 [GB2386229]
Title
(D0) Systems and methods for linking bids and offers in a trading interface
Abstract

Systems and methods of the present invention are directed particularly towards linking bids and offers (406) related to the same or similar items (e.g., currency, stocks, bonds, futures contracts, energy). A user may enter parameters (402) for linking bids and offers. The parameters may be entered (404) prior

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to, or concurrently with, the entry of the bids and offers. In response, the trading system may generate an offer and a bid (408) substantially simultaneously which may reduce the adverse affects of changed market conditions on the latter of an entered bid or offer.

Application Nbr
GB0313935 20011207 [2003GB-0013935]
PCT Application Number
WOUS0147464 20011207 [2001WO-US47464]
Priority Details
WOUS0147464 20011207 [2001WO-US47464]
US25179000P 20001207 [2000US-P251790]
US99569801 20011129 [2001US-0995698]
Inventor(s)
(A) GILBERT ANDREW C (US)
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Patent Assignee
ESPEED, INC
Patent Assignee 2
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30/11/09 5 20°59′10

107/140-PLUSPAT-©Questel
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Publication Stage
(A1) First published patent application
Publication Stage 2
(B2) Granted patent as second publication
Patent Number
US2002091617 A1 20020711 [US20020091617]
Patent Number 2
US7472087 B2 20081230 [US7472087]
Title
(A1) Trading program for interacting with market programs on a platform
Abstract

A trading process having a trading methodology selected by a user is operative to interact with market processes having respective market methodologies. The trading process and the market processes are supported on a platform that also supports platform processes for providing services to the trading processes and market processes. The trading processes interact with each other and with external markets through the market processes.

Application Nbr
US09802025 20010308 [2001US-0802025]
Filing Details
CIP of: US09546031 20000410 [2000US-0546031]
Previous Publication: US20020091617 A1 20020711
Priority Details
US80202501 20010308 [2001US-0802025]
US54603100 20000410 [2000US-0546031]
Inventor(s)
(A1) KEITH CHRISTOPHER (US)
Patent Assignee
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(B2) STIKINE TECHNOLOGY LLC (US)
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Patent Assignee 2
(B2) STIKINE TECHNOLOGY LLC (US)

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Publication Stage
(A1) First published patent application

Publication Stage 2
(B2) Granted patent as second publication

Patent Number
US2002049666 A1 20020425 [US20020049666]

Patent Number 2
US7321873 B2 20080122 [US7321873]

Title
(A1) Foreign exchange trading system

Abstract
Computer-implemented trading of financial products can include using a first communication channel to stream offering data for a plurality of different financial products from a server to a trading terminal. A second communication channel can be used to receive request for offers about ones of the financial products from the trading terminal. Such request can include user-specified parameters that modify or further specify characteristics of the desired products. Offers may then be determined for the product in accordance with the user-specified parameters and transmitted (over the second communication channel) back to the trading terminal. Each communication channel can be allocated a different priority and/or different level of system processing resources to optimize the allocation of system resources based on the criticality of data on each channel.

Application Nbr
US09935257 20010822 [2001US-0935257]

Filing Details
30/11/09 7 20°59'10
Provisional Appl: US60226843 20000822 [2000US-P226843]
Previous Publication: US20020049666 A1 20020425

Priority Details
US93525701 20010822 [2001US-0935257]
US22684300P 20000822 [2000US-P226843]

Inventor(s)
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Patent Assignee
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Patent Assignee
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Patent Assignee 2
(B2) GOLDMAN SACHS & CO (US)

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Publication Stage
(A1) First published patent application

Publication Stage 2
(B2) Granted patent as second publication

Patent Number
US2002023045 A1 20020221 [US20020023045]

Patent Number 2
US7424452 B2 20080909 [US7424452]

Title
(A1) Method and system for initiating and clearing trades

Abstract
A system and method are provided for facilitating the exchange of data between one or more price providers and customers who communicate with the price providers through various portals, each of which may use it own data format. In transmitting data from customer to price provider, the data output
30/11/09 6 20°59'10

from each portal is normalized to a standardized format and then transmitted to the appropriate price provider(s) where the data exchanged with the various portals can be viewed by a trader at a single display or can be exchanged with an automated pricing engine. The customer may also be provided with a universal Web site at which a customer may access any of the portals' Web sites to simplify access for the customer as well.

Application Nbr
US09848931 20010504 [2001US-0848931]
Filing Details
Provisional Appl: US60207570 20000526 [2000US-P207570]
Provisional Appl: US60203324 20000511 [2000US-P203324]
Provisional Appl: US60202381 20000504 [2000US-P202381]
Previous Publication: US20020023045 A1 20020221
Priority Details
US84893101 20010504 [2001US-0848931]
US20238100P 20000504 [2000US-P202381]
US20332400P 20000511 [2000US-P203324]
US20757000P 20000526 [2000US-P207570]
Inventor(s)
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Patent Assignee
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Patent Assignee 2
(B2) AMERICAN INTERNAT GROUP INC (US)

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Publication Stage
(A1) First published patent application
Publication Stage 2
30/11/09 9 20' 59' 10
(B2) Granted patent as second publication
Patent Number
US2002013753 A1 20020131 [US20020013753]
Patent Number 2
US7110975 B2 20060919 [US7110975]
Title
(A1) Order matching system

Abstract
A order matching system which allows users to define and modify buy/sell order schedules for execution within one or more transaction destinations. The system uses order schedules and associated evaluation heuristics to evaluate and update order characteristics such as price and quantity based on user-specified criteria. The matching system comprises a user interface which can be connected over the internet to various transaction destinations through a schedule manager and a transaction order interface. The user interface provides users with the ability to obtain information concerning the status of their order account as well as the ability to enter or modify their order schedules. The order manager uses a schedule supervisor server to maintain a database containing order schedules and order status information and to execute variable evaluations on the basis of these order schedules and associated evaluation heuristics. The order manager also uses a transaction supervisor server to monitor the status of order fills and to update the database periodically. The transaction order interface receives and communicates information messages between various transaction destinations and the schedule manager. In this way, the order matching system allows users to specify the ways that various terms and conditions at which they are willing to transact may change over time in an automated fashion while still retaining the ability to intervene at any time.

Application Nbr
US09770108 20010125 [2001US-0770108]
Filing Details

30/11/09 10 20° 59° 10

123/140-PLUSPAT-©Questel
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Publication Stage
(A) Patent
Patent Number
US5864827 A 19990126 [US5864827]
Title
(A) System and method for providing an information gateway

Abstract
In a device and method to provide a gateway for the transfer of information between financial markets
and customers, a processor is coupled to a customer system and to a financial market system. The
processor receives transaction information from the customer system in a first format, converts it to a
second format and transmits the transaction information to the financial market system. The processor
receives an acknowledgment and a transaction confirmation from the financial market system in the
second format, converts these to the first format and transmits the acknowledgment and the transaction
confirmation to the customer system. The processor may also be coupled to a memory, where it stores
tracking information relating to the transaction information, the acknowledgment and/or the transaction
confirmation.

30/11/09 11 20° 59° 10
125/140-PLUSPAT-©Questel
© Questel
Publication Stage
(A) Patent
Patent Number
US5710889 A 19980120 [US5710889]
Title
(A) Interface device for electronically integrating global financial services

Abstract
An interface device for electronically integrating a plurality of financial services provided at different
geographical locations and in different time zones, and delivering such services directly to a customer
facility at any time requested by the customer. The customer connects to the system whenever desired
to access each of the services, and the interface device stores and routes messages between the
customers and each of the service providers at the respective times when the customers' facilities and

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the service providers' facilities are operative. The system can be accessed through a customer's standalone personal computer, local area network, and/or mainframe computer. The system also includes a variety of security functions that provide different levels of access to the services for different customers.

Application Nbr
US47416795 19950607 [1995US-0474167]
Filing Details
Division of: US392270 19950222 [1995US-0392270]
Priority Details
US47416795 19950607 [1995US-0474167]
US39227095 19950222 [1995US-0392270]
Inventor(s)
(A) CLARK BARRY ALAN (US); D ONOFRIO JOHN (US)
Patent Assignee
(A) CITIBANK NA (US)
Patent Assignee
Citibank, N.A., New York NY [US]

132/ 140-PLUSPAT-©Questel
Publication Stage
(A) Patent
Patent Number
US5136501 A 19920804 [US5136501]
30/11/09 12 20' 59' 10
Title
(A) ANONYMOUS MATCHING SYSTEM

Abstract
A matching system for trading instruments in which bids are automatically matched against offers for given trading instruments for automatically providing matching transactions in order to complete trades for the given trading instruments, includes a host computer means (20) comprising means for anonymously matching active bids and offers in the system by trading instrument based on a variable matching criteria, which comprises counterparty credit limit between counterparties (24a, 26b) to a potential matching transaction. The system also includes a transaction originating keystation (24a) for providing a bid on a given trading instrument to the system for providing the potential matching transaction; a counterparty keystation (26b) for providing an offer on the given trading instrument involved in the potential matching transaction; and network means (22) for interconnecting the host computer means (20), the transaction originating keystation (24a) and the counterparty keystation (26b) in the system for enabling data communications therebetween. Both the transaction originating keystation (24a) and the counterparty keystation (26b) for the potential matching transaction each have an associated counterparty credit limit, with the system (20) blocking completion of the potential matching transaction between the transaction originating keystation (24a) and the counterparty keystation (26b) when the potential matching transaction has an associated value in excess of counterparty credit limit. The assigned credit limits may be reset or varied by the users (24a, 26b) to change the ability of the user or subscriber to effectuate deals.
Application Nbr
US35747889 19890526 [1989US-0357478]
Priority Details
US35747889 19890526 [1989US-0357478]
Inventor(s)
(A) SILVERMAN DAVID L (US); KELLER NORMAN (US)
Patent Assignee
(A) REUTERS LTD (GB)
Patent Assignee
Reuters Limited, London [GB]

138/ 140-PLUSPAT-©Questel
© Questel
Publication Stage

(A) Patent

Patent Number
US4674044 A 19870616 [US4674044]
Title
(A) Automated securities trading system
Abstract

Data processing based apparatus makes an automated trading market for one or more securities. The system retrieves the best obtaining bid and asked prices from a remote data base, covering the ensemble of institutions or others making a market for the relevant securities. Data characterizing each securities buy/sell order requested by a customer is supplied to the system. The order is qualified for execution by comparing its specifics against predetermined stored parameters. The stored parameters include the operative bid and asked prices, the amount of stock available for customer purchase or sale, and maximum single order size. Once qualified, the order is executed and the appropriate parameters are updated. The system provides inventory (position) control and profit accounting for the market maker. Finally, the system reports the executed trade details to the customer, and to national stock price reporting systems. Upon a change in the quoted price for a security, the system updates all relevant qualification parameters.

Application Nbr
US69640785 19850130 [1985US-0696407]
Priority Details
US69640785 19850130 [1985US-0696407]
Inventor(s)
(A) KALMUS LESLIE P (US); TROJAN DONALD R (US); MOTT BRADLEY (US); STRAMPFER JOHN (US)
Patent Assignee
(A) MERRILL LYNCH PIERCE FENNER & (US)
Patent Assignee
Merrill Lynch, Pierce, Fenner & Smith, Inc., New York NY [US]

II. Inventor Search Results from Dialog

? t/ 3,k/ all

13/3,K/6   (Item 6 from file: 349)
DIALOG(R)File 349: PCT FULLTEXT

00844333   **Image available**
PLATFORM FOR MARKET PROGRAMS AND TRADING PROGRAMS
PLATE-FORME POUR PROGRAMMES DE MARCHE ET PROGRAMMES DE NEGOCE
Patent Applicant/Assignee:
  EXCHANGELAB INC, 145 Hudson Street, Floor 7, New York, NY 10013, US, US
    (Residence), US (Nationality), (For all designated states except: US)
Patent Applicant/Inventor:
  KEITH Christopher, 105 Hudson Street, Apt. 5S, New
    York, NY 10013, US, US (Residence), US (Nationality), (Designated only
    for: US)
Legal Representative:
  POMERANCE Brenda (agent), Law Office of Brenda Pomerance, 260 West 52 St.

Apt. 27B, New York, NY 10019, US,

Patent Applicant/Inventor:
  KEITH Christopher...
Legal Representative:
Fulltext Availability:
  Detailed Description
  Claims

Detailed Description
... OF THE INVENTION
  In accordance with an aspect of this invention, there is provided a
  method of facilitating **trading** on a
  platform supporting multiple processes. At least
  two market processes having
  respective market methodologies are automatically operated, and at least
  two trading processes are...

...having a market methodology selected from a set of market methodologies

  BRIEF DESCRIPTION OF THE DRAWINGS
  Fig. I is a block diagram of a **trading**
  system platform used with the
  present
  methodology;
  Fig. **2** is an overall flowchart of operation of an
  order ELF;
  Fig. 3 is a flowchart...with another order umpire on system 5. A mE is
  also referred to as a **representation**
  process. In a generally symmetric manner, when an
  order is represented at oU 30 and at...1. Fast mode symbol - available,
  but not allowing affirmations from the
  ELF prior to pairing.

Claim
... trading processes to trade with each other at the
  market processes according to the respective **market**
  methodologies.

...trading processes has a respective order routing strategy for
  automatically routing orders from the respective
  trading process to
  the at least **two market** processes.

20 The **method** of claim 19, wherein one of the orders
from one of the trading
processes is routed to at least **two** of the
market processes.
21 The **method** of claim 19, wherein the automatically
routing is in accordance
with a relationship between the...comprising automatically ensuring the
order is executable in at most one of the first and
second market processes.

...wherein when a response to the order action is received after the
predetermined time, the **representation**
process automatically sends a negative acknowledgement
to the one of the market process and the external market that originated
the response. 106. The method of claim 100, wherein the
representation process is a
platform process.
107. The method of claim 100, further comprising operating a
second
representation process for
selectively transmitting actions between the **market**
process and a **second** external
market. 108. The **method** of claim I
00, further comprising operating a trading process able to take actions
at...

 10/3,K/1   (Item 1 from file: 350)
DIALOG(R)File 350: Derwent WPIX
(c) 2010 Thomson Reuters. All rights reserved.

0011159960 – Drawing available
WPI ACC NO: 2002-097359/200213
Related WPI Acc No: 2002-017514; 2002-017515; 2002-025925; 2008-G80358;
 2008-J24970
XRPX Acc No: N2002-071972
Trading and transaction execution method for common platform working,
involves initiating trading processes to interact with each other at
different market processes based on respective marketing methodologies
Patent Assignee: EXCHANGELAB INC (EXCH-N); KEITH C (KEIT-I)
Inventor: **KEITH** C
Patent Family (4 patents, 92 countries)

Patent			Application			
Number	Kind	Date	Number	Kind	Date	Update
WO 2001077943	A1	20011018	WO 2001US10712	A	20010402	200213 B
AU 200149799	A	20011023	AU 200149799	A	20010402	200213 E
US 20010044770	A1	20011122	US 2000546031	A	20000410	200213 E
			US 2001801848	A	20010308	
US 7574398	B1	20090811	US 2000546031	A	20000410	200953 E
			US 2001801848	A	20010308	
			US 2006514714	A	20060831	

Priority Applications (no., kind, date): US 2000546031 A 20000410; US
 2001801848 A 20010308; US 2006514714 A 20060831

Patent Details
Number   Kind Lan Pg Dwg Filing Notes
WO 2001077943   A1 EN 222 103
National Designated States,Original: AE AG AL AM AT AU AZ BA BB BG BR BY

Regional Designated States,Original: AT BE CH CY DE DK EA ES FI FR GB GH
   GM GR IE IT KE LS LU MC MW MZ NL OA PT SD SE SL SZ TR TZ UG ZW
AU 200149799   A   EN   Based on OPI patent   WO 2001077943
US 20010044770 A1 EN   C-I-P of application US 2000546031
US 7574398   B1 EN   C-I-P of application US 2000546031
                    Continuation of application US
   2001801848

Inventor: **KEITH** C

Original Publication Data by Authority

Argentina

Assignee name & address:
Inventor name & address:
Keith, Christopher...

...**Keith, Christopher**...

...**KEITH, Christopher**
Examiner:
Claims:
...between at least two trading processes that are executing on the
platform, automatically operating a **representation**
process on the same platform as the first market process
and the at least two trading processes, wherein the
representation process is
communicatively coupled to the first market process and to a second market
process, wherein...

...for trading the item between the at least two trading processes,
automatically receiving at the **representation**
process an order action from one of the first market
process and the second market process, and automatically transmitting the
order action from the **representation**
process to the other of the first market process and the
second market process according to...

13/3,K/1   (Item 1 from file: 349)
DIALOG(R)File 349: PCT FULLTEXT
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01697036   **Image available**
FINANCIAL INSTRUMENT BASED ON CONTENT AND METHODS FOR VALUATION
INSTRUMENT FINANCIER BASE SUR UN CONTENU ET PROCEDES D'EVALUATION
Patent Applicant/Assignee:
  OCEAN TOMO LLC, 200 West Madison, 37th Floor, Chicago, IL 60606, US, US
   (Residence), US (Nationality), (For all designated states except: US)
Patent Applicant/Inventor:
  MALACKOWSKI James E, c/o Ocean Tomo, LLC, 200 West Madison, 37th Floor,
   Chicago, IL 60606, US, US (Residence), US (Nationality), (Designated
   only for: US)
  GRAY Cameron, c/o Ocean Tomo, LLC, 200 West Madison, 37th Floor, Chicago,
   IL 60606, US, US (Residence), US (Nationality), (Designated only for:
   US)
  CARDOZA Keith M, c/o Ocean Tomo, LLC, 200 West
   Madison, 37th Floor, Chicago, IL 60606, US, US (Residence), US

(Nationality), (Designated only for: US)
BARNEY Jonathan A, c/o Ocean Tomo, LLC, 200 West Madison, 37th Floor,
  Chicago, IL 60606, US, US (Residence), US (Nationality), (Designated

Legal Representative:
  VALAUSKAS Charles C et al (agent), Valauskas & Pine LLC, 150 North
    Wacker Drive, Suite 1825, Chicago, IL 60606, US
Patent and Priority Information (Country, Number, Date):
  Patent: WO 200894680 A2-A3 20080807 (WO 0894680)
  Application: WO 2008US1341 20080131 (PCT/WO US2008001341)
  Priority Application: US 2007887575 20070131
Designated States:
(All protection types applied unless otherwise stated - for applications
2004+)
Publication Language: English
Filing Language: English
Fulltext Word Count: 8176

Patent Applicant/Inventor:
... Designated only for: US)
  CARDOZA Keith M...
Legal Representative:
Fulltext Availability:
  Detailed Description
  Claims

Claim
... an investor; producing data from a valuation of the financial
  instrument; and providing a payout.

  2 1. The **system** for
  trading a financial instrument, executing a
  method to be performed according to claim 20 wherein
  said producing step further comprises the step...

  13/3,K/4   (Item 4 from file: 349)
DIALOG(R)File 349: PCT FULLTEXT

00844336   **Image available**
ROUTING CONTROL FOR ORDERS ELIGIBLE FOR MULTIPLE MARKETS
COMMANDE D'ACHEMINEMENT DESTINEE A DES COMMANDES RECEVABLES PAR DES MARCHES
    MULTIPLES
Patent Applicant/Assignee:
  EXCHANGELAB INC, 145 Hudson Street, Floor 7, New York, NY 10013, US, US
    (Residence), US (Nationality), (For all designated states except: US)
Patent Applicant/Inventor:
  KEITH Christopher, 105 Hudson Street, Apt. 5S, New
    York, NY 10013, US, US (Residence), -- (Nationality), (Designated only
    for: US)
Legal Representative:
  POMERANCE Brenda (agent), Law Office of Brenda Pomerance, 260 West 52 St.
    Suite 27B, New York, NY 10019, US,
Patent and Priority Information (Country, Number, Date):
  Patent: WO 200177946 A1 20011018 (WO 0177946)

19

Application: WO 2001US10725 20010402 (PCT/WO US0110725)
Priority Application: US 2000546031 20000410; US 2001801495 20010308
Designated States:
(Protection type is "patent" unless otherwise stated - for applications
prior to 2004)
Publication Language: English
Filing Language: English
Fulltext Word Count: 51288

Patent Applicant/Inventor:
 KEITH Christopher...
Legal Representative:

 BRIEF DESCRIPTION OF THE DRAWINGS
 Fig. I is a block diagram of a **trading
 system platform** used with the
 present
 methodology;
 Fig. **2** is an overall flowchart of operation of an
 order ELF;
 Fig. 3 is a flowchart...with another order umpire on system 5. A mE is
 also referred to as a **representation
 process** . In a generally symmetric manner, when an
 order is represented at oU 30 and at...1. Fast mode symbol - available,
 but not allowing affirmations from the
 ELF prior to pairing.

 at are in-process due to...

Claim
... the set of trading processes to a plurality of
 markets in accordance with the respective **trading**
 methodologies.

 2 The **method** of claim 1, wherein
 one of the orders from one of the trading
 processes is routed to at least **two** of the
 markets.

 3 The **method** of claim 1, wherein the automatically
 routing is in accordance
 with a relationship between the...

 13/3,K/5   (Item 5 from file: 349)
DIALOG(R)File 349: PCT FULLTEXT

00844334   **Image available**
MARKET PROGRAM FOR INTERACTING WITH TRADING PROGRAMS ON A PLATFORM
PROGRAMME DE MARCHE PERMETTANT D'INTERAGIR AVEC DES PROGRAMMES D'ECHANGES
   COMMERCIAUX SUR UNE PLATE-FORME
Patent Applicant/Assignee:
 EXCHANGELAB INC, 145 Hudson Street, Floor 7, New York, NY 10013, US, US
   (Residence), US (Nationality), (For all designated states except: US)
Patent Applicant/Inventor:
 KEITH Christopher, 105 Hudson Street, Apt. 5S, New
   York, NY 10013, US, US (Residence), US (Nationality), (Designated only

20

for: US)
Legal Representative:
  POMERANCE Brenda (agent), Law Office of Brenda Pomerance, 260 West 52 St.
    Ste. 27B, New York, NY 10019, US,
Patent and Priority Information (Country, Number, Date):
  Patent: WO 200177944 A1 20011018 (WO 0177944)
  Application: WO 2001US10721 20010402 (PCT/WO US0110721)
  Priority Application: US 2000546031 20000410; US 2001801588 20010308
Designated States:
(Protection type is "patent" unless otherwise stated - for applications
prior to 2004)
Publication Language: English
Filing Language: English
Fulltext Word Count: 53363

Patent Applicant/Inventor:
  KEITH Christopher...
Legal Representative:
  BRIEF DESCRIPTION OF THE DRAWINGS
  Fig. I is a block diagram of a **trading**
  system platform used with the
  present
  methodology;
  Fig. **2** is an overall flowchart of operation of an
  order ELF;
  Fig. 3 is a flowchart...with another order umpire on system 5. A mE is
  also referred to as a **representation**
  process. In a generally symmetric manner, when an
  order is represented at oU 30 and at...1. Fast mode symbol - available,
  but not allowing affirmations from the
  ELF prior to pairing.

  2. In-**process** - a periodic
  market is processing its orders. During the
  time the umpire is in-process, it will not...Posted Price Price at which
  the amount, above, was posted
  In Crowd The number of **trading** units represented in
  the crowd
  In-**Process** (**2**) The number of
  shares, if any, at this umpire that are in-process due to...

Claim
... selected from a set of market methodologies, and
...method of claim 1, wherein automatically processing includes
  forwarding a price proposal from a first **trading**
  process to a **second**
  trading process, one of
  the orders having been received from the **second**
  trading process.

  15 The **method** of claim 14, wherein contra-party lists
  associated with the first and second trading processes have been
  compared, and disclosure compatibility of the first
  and **second trading** processes has
  been checked.

  16 The **method** of claim 1, wherein automatically
  processing includes
  receiving a choice of negotiation form,

automatically detecting...

...and
automatically committing the action after ensuring that the action is
reflected in an external **market**.

30 The **method** of claim 1, wherein the
market methodology selected from at
least **two** of book, book with crowd price improvement
notification, auction, match, and
negotiation.

31 The method...sides corresponding to how one of the two market
participants rates the other of the **two**
market participants.

56 The **method** of claim 54, wherein the preference
rating is based on at least one threshold.

13/3,K/7   (Item 7 from file: 349)
DIALOG(R)File 349: PCT FULLTEXT

00844332   **Image available**
TRADING PROGRAM FOR INTERACTING WITH MARKET PROGRAMS ON A PLATFORM
PLATE-FORME POUR PROGRAMME D'ECHANGES INTERAGISSANT AVEC DES PROGRAMMES DE
    MARCHE
Patent Applicant/Assignee:
  EXCHANGELAB INC, 145 Hudson Street, Floor 7, New York, NY 10013, US, US
    (Residence), US (Nationality), (For all designated states except: US)
Patent Applicant/Inventor:
  KEITH Christopher, 105 Hudson Street, Apt. 5S, New
    York, NY 10013, US, US (Residence), -- (Nationality), (Designated only
    for: US)
Legal Representative:
  POMERANCE Brenda (agent), Law Office of Brenda Pomerance, 260 West 52 St.
    Suite 27B, New York, NY 10019, US,
Patent and Priority Information (Country, Number, Date):
  Patent: WO 200177942 A1 20011018 (WO 0177942)
  Application: WO 2001US10711 20010402 (PCT/WO US0110711)
  Priority Application: US 2000546031 20000410; US 2001802025 20010308
Designated States:
(Protection type is "patent" unless otherwise stated - for applications
prior to 2004)
Publication Language: English
Filing Language: English
Fulltext Word Count: 53719

Patent Applicant/Inventor:
  KEITH Christopher...
Legal Representative:
Fulltext Availability:
  Detailed Description
  Claims

Detailed Description
... or with another order umpire on system 5. AlniE is also referred to as

22

a **representation process**. In a
generally symmetric manner, when an order is represented at oU 30 and at
...1. Fast mode symbol - available, but not allowing affirmations from
the
ELF prior to pairing.

2. In-**process** - a periodic
market is processing its orders. During the
time the umpire is in-process, it will not...Posted Price Price at which
the amount, above, was posted
In Crowd The number of **trading** units represented in
the crowd
In-**Process**(**2**) The number of shares,
if any, at this umpire that are in-process due to...

Claim
... according to an action
strategy selected from a plurality of action strategies by the user.

2 The **method** of claim 1, wherein
the **trading process** is operative on
a **platform** supporting a plurality of
trading processes able to interact with the at least
one **market**
l 0 **process**.

3 The **method** of claim **2**, wherein
the **platform** supports at least **two**
market processes having respective market
methodologies selected from a set of market
methodologies.

13/3,K/8   (Item 8 from file: 349)
DIALOG(R)File 349: PCT FULLTEXT

00828003   **Image available**
SYSTEM AND METHOD FOR EXECUTION OF TRADES MADE PURSUANT TO STOCK OPTION AND
    PURCHASE PLANS
SYSTEME ET METHODE D'EXECUTION DE TRANSACTIONS DANS LE CADRE DE PROGRAMMES
    D'OPTIONS SUR TITRES ET D'ACHATS Y RELATIFS
Patent Applicant/Assignee:
  PAINEWEBBER INCORPORATED, 1200 Harbor Boulevard, Weehawken, NJ 07087, US,
    US (Residence), US (Nationality), (For all designated states except:
    US)
Patent Applicant/Inventor:
  SHIELDS Lawrence P, 60 Pineapple, Brooklyn, NY 11201, US, US (Residence),
    US (Nationality), (Designated only for: US)
  BHARGAVA Amod, 22 Ridge Way, North Andover, MA 01845-4743, US, US
    (Residence), IN (Nationality), (Designated only for: US)
  CARSTEN Keith, 109 Barrenger Drive, Danville, CA 94506
    , US, US (Residence), US (Nationality), (Designated only for: US)
  MOONEY James P, 105 Coopers Lane, River Vale, NJ 07675, US, US
    (Residence), US (Nationality), (Designated only for: US)
Legal Representative:
  RESTAINO Leslie Gladstone (agent), Brown Raysman Millstein Felder &
    Steiner LLP, 4th Floor, 55 Madison Avenue, Morristown, NJ 07960, US,
Patent and Priority Information (Country, Number, Date):

SIRA   23
Delivering Technologies
for Patents

Patent: WO 200161535 A2 20010823 (WO 0161535)
Application: WO 2001US4166 20010209 (PCT/WO US0104166)
Priority Application: US 2000182399 20000214; US 2001779114 20010208
Designated States:
(Protection type is "patent" unless otherwise stated - for applications
prior to 2004)
 AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CR CU CZ DE DK DM DZ EE

Publication Language: English
Filing Language: English
Fulltext Word Count: 12526
Patent Applicant/Inventor:
... Designated only for: US)
 CARSTEN Keith,
Legal Representative:
Fulltext Availability:
 Detailed Description

Detailed Description
... 4:00 pm and 9:30 am during the week, and during weekends and holidays.

 System 2 automatically batches
 trade information at the end of the trading day (e.g.,
 4:30 prn) from trading...

 13/3,K/9   (Item 9 from file: 349)
DIALOG(R)File 349: PCT FULLTEXT

00743938   **Image available**
AUCTION MARKET WITH PRICE IMPROVEMENT MECHANISM
MARCHE AUX ENCHERES AVEC MECANISMES D'AMELIORATION DES PRIX
Patent Applicant/Assignee:
 PRIMEX HOLDINGS LLC, 885 Third Avenue, New York, NY 10022, US, US
  (Residence), US (Nationality), (For all designated states except: US)
Patent Applicant/Inventor:
 MADOFF Peter B, 34 Pheasant Run, Old Westbury, NY 11568, US, US
  (Residence), US (Nationality), (Designated only for: US)
 CASANOVA Alberto C, 821 Oak Harbour Drive, Juno Beach, FL 33408, US, US
  (Residence), CU (Nationality), (Designated only for: US)
 KEITH Christopher, 105 Hudson Street, New York, NY
  10013, US, US (Residence), US (Nationality), (Designated only for: US)
Legal Representative:
 MALONEY Denis G, Fish & Richardson, P.C., 225 Franklin Street,
  Boston, MA 02110-2804, US
Patent and Priority Information (Country, Number, Date):
 Patent: WO 200057307 A1 20000928 (WO 0057307)
 Application: WO 2000US7157 20000317 (PCT/WO US0007157)
 Priority Application: US 99272542 19990319
Designated States:
(Protection type is "patent" unless otherwise stated - for applications
prior to 2004)
 (EA) AM AZ BY KG KZ MD RU TJ TM
Publication Language: English
Filing Language: English
Fulltext Word Count: 10210

Patent Applicant/Inventor:

... Designated only for: US)
  KEI TH Christopher...
Legal Representative:
Fulltext Availability:
  Detailed Description
  Claims

Detailed Description
... 56, subsequent to entry
  of the customer order of broker/dealer D. The automated
  auction **system** 20 executes the
  trade between the **two**
  customer orders of Broker/dealer A and Broker/dealer D,
  since the customer order of...

Claim
... product;
  and
  wherein the pre-defined relative indications
  specify a price relative to a current **market** pri.ce.
  2 0

  8 The **method** of claim 7 wherein the pre-defined
  relative indications specify a quantity of the product...

III. Text Search Results from Dialog

A. Full-Text Databases

show files

File 348: EUROPEAN PATENTS 1978-201027
     (c) 2010 European Patent Office
File 349: PCT FULLTEXT 1979-2010/UB= 20100701|UT= 20100624
     (c) 2010 WI PO/Thomson
File 325: Chinese Patents Fulltext 1985-20100602
     (c) 2010. SciPat Benelux NV.
File 15: ABI/ Inform(R) 1971-2010/Jul 08
     (c) 2010 ProQuest Info&Learning
File 9: Business & Industry(R) Jul/1994-2010/Jul 08
     (c) 2010 Gale/Cengage
File 610: Business Wire 1999-2010/Jul 09
     (c) 2010 Business Wire.
File 810: Business Wire 1986-1999/Feb 28
     (c) 1999 Business Wire
File 275: Gale Group Computer DB(TM) 1983-2010/May 28
     (c) 2010 Gale/Cengage
File 624: McGraw-Hill Publications 1985-2010/Jul 08
     (c) 2010 McGraw-Hill Co. Inc
File 621: Gale Group New Prod.Annou.(R) 1985-2010/May 19
     (c) 2010 Gale/Cengage
File 636: Gale Group Newsletter DB(TM) 1987-2010/Jul 08
     (c) 2010 Gale/Cengage
File 613: PR Newswire 1999-2010/Jul 09
     (c) 2010 PR Newswire Association Inc
File 813: PR Newswire 1987-1999/Apr 30

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Delivering Technologies
for Patents

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        (c) 1999 PR Newswire Association Inc
File  16: Gale Group PROMT(R) 1990-2010/Jul 08
        (c) 2010 Gale/Cengage
File 160: Gale Group PROMT(R) 1972-1989
        (c) 1999 The Gale Group
File 634: San Jose Mercury  Jun 1985-2010/Jul 08
        (c) 2010 San Jose Mercury News
File 148: Gale Group Trade & Industry DB 1976-2010/Jul 08
        (c) 2010 Gale/Cengage
File  20: Dialog Global Reporter 1997-2010/Jul 09
        (c) 2010 Dialog
File 256: TecTrends 1982-2010/Jun W4
        (c) 2010 Info.Sources Inc. All rights res.
File 625: American Banker Publications 1981-2008/Jun 26
        (c) 2008 American Banker
File 637: Journal of Commerce 1986-2010/Jul 09
        (c) 2010 UBM Global Trade
File 635: Business Dateline(R) 1985-2010/Jul 08
        (c) 2010 ProQuest Info&Learning
File 570: Gale Group MARS(R) 1984-2010/Jun 03
        (c) 2010 Gale/Cengage
File  47: Gale Group Magazine DB(TM) 1959-2010/Jun 15
        (c) 2010 Gale/Cengage
File 268: Banking Info Source 1981-2010/Jun W4
        (c) 2010 ProQuest Info&Learning
File 626: Bond Buyer Full Text 1981-2008/Jul 07
        (c) 2008 Bond Buyer
File 267: Finance & Banking Newsletters 2008/Sep 29
        (c) 2008 Dialog
File 608: MCT Information Svc. 1992-2010/Jul 08
        (c) 2010 MCT Information Svc.
File 647: UBM Computer Fulltext 1988-2010/Jul W1
        (c) 2010 UBM, LLC
File 674: Computer News Fulltext 1989-2006/Sep W1
        (c) 2006 IDG Communications
File  13: BAMP 2010/Jul 08
        (c) 2010 Gale/Cengage
File  75: TGG Management Contents(R) 86-2010/Jun W4
        (c) 2010 Gale/Cengage
File  95: TEME-Technology & Management 1989-2010/May W5
        (c) 2010 FIZ TECHNIK


? ds


Set    Items   Description
S1     180967   (TWO OR 2 OR 2ND OR SECOND OR SECONDARY OR DUAL OR BI OR D-
         OUBLE)(3N)(MARKET? OR TRAD??? OR TRANSACT?)(3N)(PROCESS OR ME-
         THOD OR METHODOLOGY? OR PLATFORM OR PROCEDURE? ? OR SYSTEM? ?
         OR OPERATION? ?)
S2      26546   (BUY OR BUYING OR PURCHAS? OR ACQUIR?)(3N)(SELL OR SELLING
         OR SALE? ?)(3N) (MARKET? OR TRAD??? OR TRANSACT?)(3N)(PROCESS
         OR METHOD OR METHODOLOGY? OR PLATFORM OR PROCEDURE? ? OR SYST-
         EM? ? OR OPERATION? ?)
S3     170414   (TWO OR 2 OR 2ND OR SECOND OR SECONDARY OR DUAL OR BI OR D-
         OUBLE)(3N) (PROCESS OR METHOD OR METHODOLOGY? OR PLATFORM OR -
         PROCEDURE? ? OR SYSTEM? ? OR OPERATION? ?)(3N)(OPERATING OR F-
         UNCTIONING OR WORKING OR PROCESSING OR ACTIVE OR ACTIVATED)(3-
         N)(SAME OR THE SAME OR ONE OR SINGULAR OR LONE OR SINGLE OR E-
         ACH OR INDIVIDUAL)
```

SIRA
Delivering Technologies
for Patents

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S4      79253   (THREE OR THIRD OR TRIPLE OR 3 OR 3RD)(3N)(PROCESS OR MET-
                HOD OR METHODOLOGY? OR PLATFORM OR PROCEDURE? ? OR SYSTEM? ? -
                OR OPERATION? ?)(3N)(OPERATING OR FUNCTIONING OR WORKING OR P-
                ROCESSING OR ACTIVE OR ACTIVATED)(3N)(SAME OR THE SAME OR ONE
                OR SINGULAR OR LONE OR SINGLE OR EACH OR INDIVIDUAL)
S5      12174   REPRESENTATION()(PROCESS OR METHOD OR METHODOLOGY? OR PLAT-
                FORM OR PROCEDURE? ? OR SYSTEM? ? OR OPERATION? ?)
S6    1640255   (PAIRING OR MATCHING OR CONVERT? OR CONVERSION OR LINK? OR
                RELAT?)(3N) (ORDER? ? OR TRADE? ? OR TRADING OR TRANSACTION?
                ? OR PURCHAS??? OR EXCHANG???)
S7    1208931   (DIFFERENT? OR DIVERSE OR VARIOUS OR UNRELAT? OR SEPARATE
                OR DISTINCT OR DISTINGUISH?? OR DISPARATE)(3N)(MARKET? OR TRA-
                D??? OR TRANSACT?)
S8     902093   (PLACE OR PUT OR ENTER OR SEND OR REQUEST)(3N)(ORDER? ? OR
                TRADE? ? OR TRADING OR TRANSACTION? ? OR PURCHAS??? OR EXCHA-
                NG???)
S9       4178   AU=(KEITH, C? OR KEITH C? OR KEITH(2N)C?)
S10        14   S9 AND S1
S11         0   S10 AND S2
S12         5   S9 AND S5
S13       628   S1(25N)S2
S14         2   S13(25N)S3
S15         0   S13(15N)S4
S16         0   S13(15N)S5
S17        14   S13(15N)S6
S18        10   S13(15N)S7
S19        21   S13(15N)S8
S20       916   (S1:S2)(15N)S3
S21        87   S20(7N)S4
S22         1   S21(15N)S5
S23        15   S21(15N)S6
S24        11   S21(15N)S7
S25         7   S21(15N)S8
S26        67   S14 OR S17 OR S18 OR S19 OR S22 OR S23 OR S24 OR S25
S27        19   S26 NOT PY>2001


?


27/3,K/1    (Item 1 from file: 349)
DIALOG(R)File 349: PCT FULLTEXT
(c) 2010 WIPO/Thomson. All rights reserved.

00831857   **Image available**
RISK MANAGEMENT AND RISK TRANSFER CONDUIT SYSTEM
SYSTEME CANALISATEUR DE GESTION DE RISQUES ET DE TRANSFERT DE RISQUES
Patent Applicant/Inventor:
  TURBEVILLE Wallace C, Apartment 10S, 105 Hudson Street, New York, NY
   10013, US, US (Residence), US (Nationality)
  PERRY J Scott, Apartment 5H, 51 West 84th Street, New York, NY 10024, US,
   US (Residence), US (Nationality)
Legal Representative:
  AUFRICHTIG Peter D (agent), Aufrichtig Stein & Aufrichtig, P.C., 5th
   floor, 300 East 42nd Street, New York, NY 10017, US,
Patent and Priority Information (Country, Number, Date):
  Patent:          WO 200165447 A1 20010907 (WO 0165447)
  Application:       WO 2001US6323 20010228  (PCT/WO US0106323)
  Priority Application: US 2000185900 20000229; US 2000197166 20000414; US
   2000197167 20000414
```

Designated States:
(Protection type is "patent" unless otherwise stated - for applications
prior to 2004)
  AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CO CR CU CZ DE DK DM DZ
Publication Language: English
Filing Language: English
Fulltext Word Count: 12918

Fulltext Availability:
  Detailed Description

Detailed Description
... contracts of assurance.

  When a party signs up to participate in a risk
  transfer conduit **system** enabled
  **market trading
  system**, it will
  enter into **two** separate agreements
  before it can conduct any
  trades on the **system**. The first is
  a master bilateral
  purchase/**sale** agreement. The second
  is a master credit
  facility
  The master bilateral **purchase**/**sale**
  agreement
  constitutes the standardized bilateral contract for all
  trades
  undertaken by a market participant and outlines the basic
  terms and conditions of the sale...

 27/3,K/2   (Item 2 from file: 349)
DIALOG(R)File 349: PCT FULLTEXT
(c) 2010 WIPO/Thomson. All rights reserved.

00788853   **Image available**
A METHOD FOR THE SECURE TRANSFER OF PAYMENTS
PROCEDE DE TRANSFERT DE PAIEMENTS SECURISE
Patent Applicant/Assignee:
  TRINTECH LIMITED, South County Business Park, Leopardstown, Dublin 18, IE
    , IE (Residence), IE (Nationality), (For all designated states except:
    US)
Patent Applicant/Inventor:
  HAMILTON Christopher John, 1724 Ben Crenshaw, Austin Way, TX 78746, US,
    US (Residence), US (Nationality), (Designated only for: US)
  WELLS Lisa Kay, 4903 Whispering Valley Drive, Austin, TX 78727, US, US
    (Residence), US (Nationality), (Designated only for: US)
  BRAHMBHATT Bhagwat, 45177 Cougar Circle, Fremont, CA 94539, US, US
    (Residence), US (Nationality), (Designated only for: US)
Legal Representative:
  O'CONNOR Donal H (et al) (agent), Cruickshank & Co., 1 Holles Street,
    Dublin 2, IE,
Patent and Priority Information (Country, Number, Date):
  Patent: WO 200122374 A1 20010329 (WO 0122374)
  Application: WO 2000IE101 20000907 (PCT/WO IE0000101)

Priority Application: EP 99650088 19990922; US 2000200672 20000428; US
   2000567975 20000510
Designated States:
(Protection type is "patent" unless otherwise stated - for applications
prior to 2004)
  AE AL AM AT AU AZ BA BB BG BR BY CA CH CN CR CU CZ DE DE (utility model)
  DK DK (utility model) DM EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE
  KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX NO NZ PL PT RO RU
Publication Language: English
Filing Language: English
Fulltext Word Count: 17440

Fulltext Availability:
  Detailed Description
  Claims

Claim
... be varied in both construction and detail within the scope of the
  claims.
  CLAIMS
  A **method** for the secure transfer of payment and
  related purchase information
  over a network **sales system** for a
  payment card **transaction**, the
  system
  including a communications network (**2**) and at least a
  card holder computer (4) operated by a card holder (4a), a...

 27/3,K/5   (Item 5 from file: 349)
DIALOG(R)File 349: PCT FULLTEXT
(c) 2010 WIPO/Thomson. All rights reserved.

00574720   **Image available**
AUTOMATED PRICE IMPROVEMENT PROTOCOL PROCESSOR
PROCESSEUR POUR PROTOCOLE D'AMELIORATION AUTOMATISEE DE LA FIXATION DES
    PRIX
Patent Applicant/Assignee:
  CANTOR FITZGERALD SECURITIES,
Inventor(s):
  LUTNICK Howard,
  FRASER Stuart A,
  PAUL Bijoy,
Patent and Priority Information (Country, Number, Date):
  Patent: WO 200038093 A1 20000629 (WO 0038093)
  Application: WO 99US26154 19991105 (PCT/WO US9926154)
  Priority Application: US 98216464 19981218
Designated States:
(Protection type is "patent" unless otherwise stated - for applications
prior to 2004)
  AE AL AU AZ BA BB BG BR CA CN CU CZ EE GD GE HR HU ID IL IN IS JP KP KR
  KZ LC LK LR LS LT LV MG MK MN MX NO NZ PL RO SG SI SK TR TT UA UZ VN YU
  ZA GH GM KE LS MW SD SL SZ TZ UG ZW AM AZ BY KG KZ MD RU TJ TM AT BE CH
  CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE BF BJ CF CG CI CM GA GN GW
  ML MR NE SN TD TG
Publication Language: English
Fulltext Word Count: 16593

SIRA
Delivering Technologies
for Patents

Fulltext Availability:
  Detailed Description
  Claims

Claim
... becomes a trader and conditions where a trader
and other Participants may participate in a **trade** and
obtain price improvements from their declared **buy**
and/or
sell orders.

5 The **trading system** of claim 4,
where price
improvements occur when existing and/or additional
Participants **enter** select item
trading position changes or
commands.

6 The **trading system** of claim
2, wherein said
logic structure rank bids and/or offers.
7 The trading system of claim...

27/3,K/7   (Item 1 from file: 15)
DIALOG(R)File 15: ABI/Inform(R)
(c) 2010 ProQuest Info&Learning. All rights reserved.

00625036 92-40138
International Countertrade: Is It a Sale Yet?
Elenbaas, John E.; Kreuze, Jerry G.
CPA Journal v62n7 PP: 66-67 Jul 1992
ISSN: 0732-8435 JRNL CODE: CPA
WORD COUNT: 1406

...TEXT: appropriate provision for uncollectible accounts. A transaction
generally is not considered a sale unless an **exchange**
has taken **place**, a liquid asset has been received, and
the earnings **process** is complete or virtually complete.
Since countertrade represents both a **sale** and a
purchase requirement integrated into one agreement, the
sale really cannot be considered independent of the
purchase.

Since the countertrade **transaction** is a
two-part **process**, at what point
should revenue be recognized? And for that matter, subsidiary should
recognize the...

27/3,K/8   (Item 1 from file: 810)
DIALOG(R)File 810: Business Wire
(c) 1999 Business Wire . All rights reserved.

0951761 BW0195

TRADE'EX: MetalSite Goes Live With TRADE'ex Procurement for the Marketplace

December 14, 1998

Byline: Business Editors/Technology Writers

   ...MetalSite is a vertical industry Web portal for the online
purchase of metals products from **various** suppliers. Meta
lSite uses
TRADE'ex Procurement for the **Marketplace</ B& two-way
commerce process (buy and se
ll-side functionality) for the metals
industry.**
   **"TRADE'ex Procurement for the Marketplace is the on
ly commerce
management solution available to meet our...**

 27/3,K/13   (Item 4 from file: 636)
DIALOG(R)File 636: Gale Group Newsletter DB(TM)
(c) 2010 Gale/Cengage. All rights reserved.

01089176   Supplier Number: 40728975 (USE FORMAT 7 FOR FULLTEXT)
NEW PROJECTS UNVEILED AT A.D. LITTLE CONFERENCE
Trading Systems Technology, v2, n18, pN/A
March 27, 1989
Language: English   Record Type: Fulltext
Document Type: Newsletter; Trade
Word Count: 576

...   the global integration project a "cost effective, interactive,
real-time support system for sales and trading."
   The front-office system was two
-and-a-half years in the making and paid for itself in the first 12 months
of operation. The overall plan was to design a system
that "from a single location could sell and
trade on the sell side or manage
money from the buy side."
   The system integrates four
distinct subsystems into the trader's
desk:
   Real-time market data delivery,
   Analytics, from bond calculators to real-time option...

 27/3,K/15   (Item 1 from file: 148)
DIALOG(R)File 148: Gale Group Trade & Industry DB
(c) 2010 Gale/Cengage. All rights reserved.

06227815   SUPPLIER NUMBER: 12826677   (USE FORMAT 7 OR 9 FOR FULL TEXT)
International countertrade: is it a sale yet? (The CPA in Industry)
Elenbaas, John E.; Kreuze, Jerry G.
CPA Journal, v62, n7, p66(2)
July, 1992

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for Patents

...   appropriate provision for uncollectible accounts. A transaction
generally is not considered a sale unless an exchange
has taken place, a liquid asset has been received, and
the earnings process is complete or virtually complete.
Since countertrade represents both a sale and a
purchase requirement integrated into one agreement, the
sale really cannot be considered independent of the
purchase. Since the countertrade
transaction is a two-part
process, at what point should revenue be recognized? And
for that matter, which subsidiary should recognize...

27/3,K/16   (Item 1 from file: 20)
DIALOG(R)File 20: Dialog Global Reporter

11815463 (USE FORMAT 7 OR 9 FOR FULLTEXT)
Trading in index futures
HINDU
July 06, 2000
JOURNAL CODE: FHIN LANGUAGE: English RECORD TYPE: FULLTEXT
WORD COUNT: 907

 (USE FORMAT 7 OR 9 FOR FULLTEXT)

...   one who is quick to notice the difference in price of the same
products in different markets and by
the   process   of   buying   and
selling in two different<
/B> markets at two differ
ent prices makes a profit by way of difference in prices.
    The terms of a forward...

27/3,K/17   (Item 2 from file: 20)
DIALOG(R)File 20: Dialog Global Reporter

03747053 (USE FORMAT 7 OR 9 FOR FULLTEXT)
MetalSite Goes Live With TRADE'ex Procurement for the Marketplace
BUSINESS WIRE
December 14, 1998
JOURNAL CODE: WBWE LANGUAGE: English RECORD TYPE: FULLTEXT
WORD COUNT: 858

 (USE FORMAT 7 OR 9 FOR FULLTEXT)

...   MetalSite is a vertical industry Web portal for the online purchase
of metals products from various suppliers. MetalSite
uses TRADE'ex Procurement for the Marketplace&l
t;/B>   to   enable   the   two-way   commerce
process (buy and sell

32

27/3,K/19   (Item 1 from file: 75)
DIALOG(R)File 75: TGG Management Contents(R)

00156833   SUPPLIER NUMBER: 12826677   (USE FORMAT 7 FOR FULL TEXT)
International countertrade: is it a sale yet? (The CPA in Industry)
Elenbaas, John E.; Kreuze, Jerry G.
The CPA Journal, v62, n7, p66(2)
July, 1992
ISSN: 0732-8435   LANGUAGE: English   RECORD TYPE: Fulltext; Abstract
WORD COUNT: 1469   LINE COUNT: 00123

...   appropriate provision for uncollectible accounts. A transaction
generally is not considered a sale unless an exchange
has taken place, a liquid asset has been received, and
the earnings process is complete or virtually complete.
Since countertrade represents both a sale and a
purchase requirement integrated into one agreement, the
sale really cannot be considered independent of the
purchase. Since the countertrade
transaction is a two-part
process, at what point should revenue be recognized? And
for that matter, which subsidiary should recognize...

IV. <u>Text Search Results from Dialog</u>

A. Abstract Databases

File 350: Derwent WPIX 1963-2010/UD=201042
      (c) 2010 Thomson Reuters
File 347: JAPIO Dec 1976-2010/Feb(Updated 100525)
      (c) 2010 JPO & JAPIO
File 35: Dissertation Abs Online 1861-2010/Jun
      (c) 2010 ProQuest Info&Learning
File 583: Gale Group Globalbase(TM) 1986-2002/Dec 13
      (c) 2002 Gale/Cengage
File 65: Inside Conferences 1993-2010/Jul 08
      (c) 2010 BLDSC all rts. reserv.
File   2: INSPEC 1898-2010/Jun W4
      (c) 2010 The IET
File 474: New York Times Abs 1969-2010/Jul 09
      (c) 2010 The New York Times
File 99: Wilson Appl. Sci & Tech Abs 1983-2010/Apr
      (c) 2010 The HW Wilson Co.
File 34: SciSearch(R) Cited Ref Sci 1990-2010/Jul W1
      (c) 2010 The Thomson Corp
File 434: SciSearch(R) Cited Ref Sci 1974-1989/Dec
      (c) 2006 The Thomson Corp
File 169: Insurance Periodicals 1984-1999/Nov 15
      (c) 1999 NILS Publishing Co.
File   6: NTIS 1964-2010/Jul W1
      (c) 2010 NTIS, Intl Cpyrght All Rights Res
File 63: Transport Res(TRIS) 1970-2010/Jun
      (c) fmt only 2010 Dialog

File   8: Ei Compendex(R) 1884-2010/Jun W4
       (c) 2010 Elsevier Eng. Info. Inc.
File 14: Mechanical and Transport Engineer Abstract 1966-2010/May
       (c) 2010 CSA.
File   7: Social SciSearch(R) 1972-2010/Jul W1
       (c) 2010 The Thomson Corp
File 139: EconLit 1969-2010/Jun
       (c) 2010 American Economic Association

? ds

Set   Items   Description
S1   9407   (TWO OR 2 OR 2ND OR SECOND OR SECONDARY OR DUAL OR BI OR D-
               OUBLE)(3N)(MARKET? OR TRAD??? OR TRANSACT?)(3N)(PROCESS OR ME-
               THOD OR METHODOLOGY? OR PLATFORM OR PROCEDURE? ? OR SYSTEM? ?
               OR OPERATION? ?)
S2   1748   (BUY OR BUYING OR PURCHAS? OR ACQUIR?)(3N)(SELL OR SELLING
               OR SALE? ?)(3N)(MARKET? OR TRAD??? OR TRANSACT?)(3N)(PROCESS
               OR METHOD OR METHODOLOGY? OR PLATFORM OR PROCEDURE? ? OR SYST-
               EM? ? OR OPERATION? ?)
S3   34421   (TWO OR 2 OR 2ND OR SECOND OR SECONDARY OR DUAL OR BI OR D-
               OUBLE)(3N) (PROCESS OR METHOD OR METHODOLOGY? OR PLATFORM OR -
               PROCEDURE? ? OR SYSTEM? ? OR OPERATION? ?)(3N)(OPERATING OR F-
               UNCTIONING OR WORKING OR PROCESSING OR ACTIVE OR ACTIVATED)(3-
               N)(SAME OR THE SAME OR ONE OR SINGULAR OR LONE OR SINGLE OR E-
               ACH OR INDIVIDUAL)
S4   10587   (THREE OR THIRD OR TRIPLE OR 3 OR 3RD)(3N)(PROCESS OR MET-
               HOD OR METHODOLOGY? OR PLATFORM OR PROCEDURE? ? OR SYSTEM? ? -
               OR OPERATION? ?)(3N)(OPERATING OR FUNCTIONING OR WORKING OR P-
               ROCESSING OR ACTIVE OR ACTIVATED)(3N)(SAME OR THE SAME OR ONE
               OR SINGULAR OR LONE OR SINGLE OR EACH OR INDIVIDUAL)
S5   10099   REPRESENTATION()(PROCESS OR METHOD OR METHODOLOGY? OR PLAT-
               FORM OR PROCEDURE? ? OR SYSTEM? ? OR OPERATION? ?)
S6   238813   (PAIRING OR MATCHING OR CONVERT? OR CONVERSION OR LINK? OR
               RELAT?)(3N) (ORDER? ? OR TRADE? ? OR TRADING OR TRANSACTION?
               ? OR PURCHAS??? OR EXCHANG???)
S7   48456   (DIFFERENT? OR DIVERSE OR VARIOUS OR UNRELAT? OR SEPARATE
               OR DISTINCT OR DISTINGUISH?? OR DISPARATE)(3N)(MARKET? OR TRA-
               D??? OR TRANSACT?)
S8   61327   (PLACE OR PUT OR ENTER OR SEND OR REQUEST)(3N)(ORDER? ? OR
                TRADE? ? OR TRADING OR TRANSACTION? ? OR PURCHAS??? OR EXCHA-
               NG???)
S9   794   AU=(KEITH, C? OR KEITH C? OR KEITH(2N)C?)
S10   1   S9 AND S5
S11   115   S1 AND S2
S12   1   S11 AND S3
S13   0   S11 AND S4
S14   0   S11 AND S5
S15   37   S11 AND S6
S16   18   S11 AND S7
S17   23   S11 AND S8
S18   148   (S1:S2) AND S3
S19   12   S18 AND S4
S20   2   S18 AND S5
S21   27   S18 AND S6
S22   15   S18 AND S7
S23   29   S18 AND S8
S24   114   S15 OR S16 OR S17 OR S19 OR S20 OR S21 OR S22 OR S23
S25   114   RD (unique items)

34

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S26      15   S25 NOT PY> 2001
S27      37   S25 NOT AY> 2001
S28      37   S26 OR S27
```

28/3,K/1   (Item 1 from file: 350)
DIALOG(R)File 350: Derwent WPIX
(c) 2010 Thomson Reuters. All rights reserved.

0019571206 – Drawing available
WPI ACC NO: 2009-P38334/200967
Computer-implemented method for quoting securities in market maker
quotation system i.e. client system, involves reflecting quotes with bid
and offer prices for securities to reflect position of market maker and
customer order
Patent Assignee: NASDAQ OMX GROUP INC (NASD-N)
Inventor: BERKELEY A R; DELLA R J; KETCHUM R G
Patent Family (1 patents, 1 countries)
Patent   Application
Number   Kind Date   Number   Kind Date   Update
US 7599875   B1 20091006 US 1998208942   A 19981210 200967 B

Priority Applications (no., kind, date): US 1998208942 A 19981210

Patent Details
Number   Kind Lan Pg Dwg Filing Notes
US 7599875   B1 EN   10   4

Original Titles:
Dual quote **market
system**
  Alerting Abstract ...ADVANTAGE - The **method**
effectively utilizes the **market** maker's proprietary
quotes and agency quotes to convey willing for **selling**
and **buying** the security for the
market maker's proprietary account in the market...

Original Publication Data by Authority

Argentina

Assignee name & address:
Claims:
...a market maker for a security using a unique market maker identifier
corresponding to the <B> market maker that is
different from **market** maker
identifiers for other market makers; and in response to a customer order,
by the...

 28/3,K/4   (Item 4 from file: 350)
DIALOG(R)File 350: Derwent WPIX
(c) 2010 Thomson Reuters. All rights reserved.

0013390584 – Drawing available
WPI ACC NO: 2003-480496/200345
XRPX Acc No: N2003-382016
Cache load balancing method in multiprocessor web server, involves mapping

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SIRA
Delivering Technologies
for Patents
```

each transaction types to several servers using performance statistics to
form dispatch table
Patent Assignee: HSIEH H (HSIE-I); HUANG C (HUAN-I); SINGH R (SING-I)
Inventor: HSIEH H; HUANG C; SINGH R
Patent Family (1 patents, 1 countries)

Patent Number	Kind	Date	Application Number	Kind	Date	Update	
US 20030065702	A1	20030403	US 2001962964	A	20010924	200345	B

Priority Applications (no., kind, date): US 2001962964 A 20010924

Patent Details

Number	Kind	Lan	Pg	Dwg	Filing Notes
US 20030065702	A1	EN	12	6	

 Alerting Abstract ...ADVANTAGE - Enables to dispatch incoming
transactions to **various** servers and
hence **effective** usage **of** processor
cache is attained. Enables to reduce regency time for processing the
transaction...

Original Publication Data by Authority

Argentina

Assignee name & address:
Claims:
 What is claimed is: **1**. A < B> method, comprising:
identifying multiple transaction types to be processed by a load balancing
system having **two** or more
processing units; determining performance statistics for
each of **the** multiple
transaction types; mapping
each of the multiple transaction types
to the **two** or more
processing units using the
performance statistics to form a dispatch table; and
dispatching incoming transactions **to**
the **two** or more processing units using the dispatch
table.

 28/3,K/5   (Item 5 from file: 350)
DIALOG(R)File 350: Derwent WPIX

0013359664 - Drawing available
WPI ACC NO: 2003-447739/200342
XRPX Acc No: N2003-357061
Two-phase commit protocol providing
method for **transaction** processing
system, involves completing
transaction using **two**-phase commit
protocol if transaction results in changes are made in more than one
database
Patent Assignee: BORLAND SOFTWARE CORP (BORL-N)
Inventor: WEEDON J K
Patent Family (2 patents, 1 countries)
Patent   Application

Priority Applications (no., kind, date): US 2001316827 P 20010831; US 200140032 A 20011022

Patent Details

Number	Kind	Lan	Pg	Dwg	Filing Notes
US 20030046298	A1	EN	18	5	Related to Provisional US 2001316827

Two-phase commit protocol providing
method for **transaction** processing
system, involves completing
transaction using **two**-phase commit
protocol if transaction results in changes are made in more than one
database

Original Titles:
Transaction processing **system**
providing improved **methodology** for
two-phase commit decision...

...**Transaction** processing **system**
providing improved **methodology** for
two-phase commit decision

  Alerting Abstract ...USE - For providing **two**-phase
commit protocol in **transaction** processing
system (claimed...

Original Publication Data by Authority

Argentina

Assignee name & address:
Original Abstracts:
 A < B> transaction processing **system**
providing **improved methodology**
for invoking **two-**
phase commit protocol (**2PC**) is
described. More particularly, a transaction is handled without use of 2PC
until the system...

...A **transaction** processing **system**
providing improved **methodology** for invoking
two-phase commit
protocol (2PC) is **described**. More
particularly, **a transaction** is
handled without use of 2PC until the system determines that the transaction
does, in...

...overhead associated with use of the two-phase commit protocol. Because
only a small percentage **of** real world transactions
result in updates to more than **one** database, the
methodology improves the overall performance of
transaction processing
systems considerably.

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Claims:
 What is claimed is: **1**. An improved method for providing
two-phase commit protocol (2PC) in **a**
transaction processing **system** in
communication with at least **two**
databases, the **method** comprising: in
response to a **transaction** initiated by
a client, allocating connections to databases
participating in **said** transaction without use of 2PC;
reading in records required in said transaction from said databases...

...What is claimed is: 1. An improved method for providing
two-phase commit protocol (2PC) in a transaction
processing system in communication with at least two databases, the method
comprising: in response to a transaction initiated by **a**
client in **a** transaction **processing**
system comprising at least a **three**-
tier system including at least
one client, a middle-
tier application server and at least
two databases allocating connections to databases
participating in said transaction **without**
use of 2PC; reading in records required
in said transaction from **said**
databases; determining at the middle-tier application server whether
or not said transaction results in changes to more than
one database; if said transaction results...

 28/3,K/8   (Item 8 from file: 350)
DIALOG(R)File 350: Derwent WPIX
(c) 2010 Thomson Reuters. All rights reserved.

0012890452 – Drawing available
WPI ACC NO: 2002-749916/200281
XRPX Acc No: N2002-590593
Computerized trading method involves sending information of each matched
pair of offer and bid only to concerned traders, with identity and
benchmark trading rate set for transaction
Patent Assignee: NOLAN K (NOLA-I); SPENCER M (SPEN-I)
Inventor: NOLAN K; SPENCER M
Patent Family (1 patents, 1 countries)

Patent Number	Kind	Date	Application Number	Kind	Date	Update	
US 20020116314	A1	20020822	US 2001777987	A	20010206	200281	B

Priority Applications (no., kind, date): GB 200030964   A 20001219

Patent Details

Number	Kind	Lan	Pg	Dwg	Filing Notes
US 20020116314	A1	EN	24	10	

Original Publication Data by Authority

Argentina
Assignee name & address:
Original Abstracts:

...plurality of traders using the client computer apparatus (**11, 12, 13, 14, 15, 16**) to <B> send to the
trading system computer apparatus (**10**) via the
telecommunications network a plurality of offers for sale of financial
instruments; (**b**) a **second**
plurality of
traders using the client computer apparatus (**11, 12, 13, 14, 15, 16**) to **send** to the
trading system computer apparatus (**10**) via the
telecommunications network a plurality of bids for purchase of financial
instruments; and (c) a trading administrator using the
trading system **computer** apparatus
(**10**) **to**: establish a succession of time limited
order entry periods during which offers for **sale** and
bids for **purchase** can be submitted to
the **trading system** computer
apparatus: (**< > 10**); compare all offers
for sale and bids for
purchase made in a single order entry period at the end
of the order entry period; to match where possible the
compared offers for **sale**
and bids for **purchase**; to record
for each order entry period at least
one benchmark **trading** rate; and to make available
electronically **via** the telecommunications network
to all relevant **traders** information
regarding the offers and/or bids which have been matched, such information
for each...
Claims:
...the method comprises the steps of: (a) a first plurality of traders
using the client **computer** apparatus to send to the
trading **system** computer apparatus via the
telecommunications network a plurality of offers for
sale of financial **instruments**; (
b) a second plurality of **traders**
using the client computer apparatus to **send** to the
trading system computer apparatus via
the telecommunications network **a** plurality of bids for
purchase of **financial** instruments;
and (**c**) **a** trading administrator using
the trading system computer apparatus to: establish a succession of time
limited order entry periods during which offers for **sale**
and **bids** for **purchase** can be
submitted to the **trading** system computer apparatus;
compare all offers for **sale** and bids for
purchase made in a **single** order entry
period at the **end** of the order entry period; to match
where possible **the** compared offers for
sale and bids for **purchase**; to record
for each order entry period at least one benchmark
trading rate; and to make available electronically via
the telecommunications **network** to all relevant
traders information regarding the offers and/or bids
which have been matched, such information for each...

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0012370415 - Drawing available
WPI ACC NO: 2002-313362/200235
XRPX Acc No: N2002-245992
Electronic commerce **system** receives individual
information from **purchaser** terminal and
selling person terminal, and
transaction information from
transaction agency **system**
Patent Assignee: ASTERIK KK (ASTE-N)
Inventor: ENOMOTO S; PARTOS J
Patent Family (1 patents, 1 countries)

Patent Number	Kind	Date	Application Number	Kind	Date	Update	
JP 2002092373	A	20020329	JP 2000280623	A	20000914	200235	B

Priority Applications (no., kind, date): JP 2000280623 A 20000914

Patent Details

Number	Kind	Lan	Pg	Dwg	Filing Notes
JP 2002092373	A	JA	24	20	

Electronic commerce **system** receives individual
information from **purchaser** terminal and
selling person terminal, and
transaction information from
transaction agency **system**

 Alerting Abstract ...NOVELTY - A **processing** agency
system (2) receives **individual**
information from a **selling** person terminal (
3) and a **purchaser** terminal (4), and
receives **transaction** information from a transaction
agency **system** (1). The processing agency
system indicates the collection and delivery of goods
and money collection information to a collection delivery...
...ADVANTAGE - Protects privacy, since the individual information of the
selling person and **purchaser** is not
known by the other **transaction** party and improves
account settlement **process** efficiency. Avoids erroneous
goods delivery, since correct transaction information is received from
transaction agency system...

 28/3,K/11   (Item 11 from file: 350)
DIALOG(R)File 350: Derwent WPIX

0011118851 - Drawing available
WPI ACC NO: 2002-055032/200207
XRPX Acc No: N2002-040614
Secure transaction system for use with e-commerce over the Internet uses
identity authentication using transaction history
Patent Assignee: RICHARDSON R B (RICH-I)
Inventor: RICHARDSON R B
Patent Family (2 patents, 91 countries)

Patent Number	Kind	Date	Application Number	Kind	Date	Update

WO 2001046917   A2 20010628 WO 2000US34802   A 20001220 200207 B
AU 200127321   A 20010703 AU 200127321   A 20001220 200207 E

Priority Applications (no., kind, date): US 1999467196 A 19991220

Patent Details
Number   Kind Lan Pg Dwg Filing Notes
WO 2001046917   A2 EN   38   6
National Designated States,Original: AE AG AL AM AT AU AZ BA BB BG BR BY
  BZ CA CH CN CR CU CZ DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN
  IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ
  PL PT RO RU SD SE SG SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW
Regional Designated States,Original: AT BE CH CY DE DK EA ES FI FR GB GH
  GM GR IE IT KE LS LU MC MW MZ NL OA PT SD SE SL SZ TR TZ UG ZW
AU 200127321   A EN   Based on OPI patent WO 2001046917

  Alerting Abstract …NOVELTY - The system includes a processing
system that stores the previous
transaction data. A **second** processing
system stores the previous
transaction data. The **second**
processing system has at least
one disabled function. The first
processing system uses at least the
previous transaction data to generate a current
transaction code. The **second**
processing **system** uses the current
transaction code and the previous transaction data to
enable **one** or more of the disabled functions of the
second processing
system.

Original Publication Data by Authority

Argentina
Assignee name & address:
Original Abstracts:
…transactions sont soumises au systeme de verification associe a cette
personne et contenant des donnees < B> relative aux
transactions anterieures effectuees par cette meme
personne **avec** le **fournisseur**. Le
systeme de verification analyse ces donnees de transaction afin de
determiner les codes de…
Claims:

 28/3,K/12   (Item 12 from file: 350)
DIALOG(R)File 350: Derwent WPIX

0010979786 - Drawing available
WPI ACC NO: 2001-604164/200169
XRPX Acc No: N2001-450952
Automated transaction apparatus in financial institution and convenience
store, selects private line or commercial line for communicating high
security level of data and low security level of data respectively
Patent Assignee: FUJITSU LTD (FUJI T)
Inventor: KURIHARA M; NAKAMURA K

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Patent Family (5 patents, 28 countries)
Patent   Application
Number   Kind Date   Number   Kind Date   Update
EP 1139313   A2 20011004 EP 2000402911   A 20001020 200169 B
JP 2001344426   A 20011214 JP 200165939   A 20010309 200214 E
KR 2001095107   A 20011103 KR 200116550   A 20010329 200223 E
US 6928420   B1 20050809 US 2000667440   A 20000922 200552 E
KR 678556   B1 20070207 KR 200116550   A 20010329 200850 E

Priority Applications (no., kind, date): JP 200095122 A 20000330

Patent Details
Number   Kind Lan Pg Dwg Filing Notes
EP 1139313   A2 EN   15 16
Regional Designated States,Original: AL AT BE CH CY DE DK ES FI FR GB GR
  IE IT LI LT LU LV MC MK NL PT RO SE SI
JP 2001344426   A JA   10
KR 678556   B1 KO   Previously issued patent KR 2001095107

  Alerting Abstract USE - Installed at financial institution and
convenience store for performing sales **transaction** of
various kinds of merchandise including computer game
software, travel packages, tickets and for processing cash deposit...

Original Publication Data by Authority

Argentina

Assignee name & address:
Claims:
...a controller for selecting said first data processing device for said
first process and said < B> second data processing device for
said **second process**, and controlling
said **transaction** in accordance with the selected data
processing device in **each**
process.

...when said second transaction is selected by said operating unit,wherein
said controller encrypts data **related** to said first
transaction requiring processing by said first data
processing device, generates an encryption key for decoding said

───

 28/3,K/13   (Item 13 from file: 350)
DIALOG(R)File 350: Derwent WPIX
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0010920044 - Drawing available
WPI ACC NO: 2001-541734/200160
Related WPI Acc No: 2001-522915; 2001-522916
XRPX Acc No: N2001-402621
Method of processing **transaction** data
related to access to service provided via number of
service providers by retrieving transaction data from several transaction
data sources
Patent Assignee: EDGETT J (EDGE-I); FARHAT J (FARH-I); IPASS INC
  (IPAS-N); ROZENFELD A (ROZE-I); SUNDER S (SUND-I); VU C (VUCC-I)
Inventor: EDGETT J; FARHAT J; ROZENFELD A; SUNDER S; VU C

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Patent Family (5 patents, 93 countries)

Patent Number	Kind	Date	Application Number	Kind	Date	Update	
WO 2001063532	A1	20010830	WO 2001US5752	A	20010223	200160	B
US 20010034677	A1	20011025	US 2000185180	P	20000225	200170	E
			US 2001791968	A	20010221		
AU 200141684	A	20010903	AU 200141684	A	20010223	200202	E
EP 1269373	A1	20030102	EP 2001912958	A	20010223	200310	E
			WO 2001US5752	A	20010223		
JP 2003529827	W	20031007	JP 2001562422	A	20010223	200370	E
			WO 2001US5752	A	20010223		

Priority Applications (no., kind, date): US 2000185180 P 20000225; US
  2001791968 A 20010221

Patent Details

Number	Kind	Lan	Pg	Dwg	Filing Notes
WO 2001063532	A1	EN	66	21	

National Designated States,Original: AE AG AL AM AT AU AZ BA BB BG BR BY
  BZ CA CH CN CR CU CZ DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN
Regional Designated States,Original: AT BE CH CY DE DK EA ES FI FR GB GH
  GM GR IE IT KE LS LU MC MW MZ NL OA PT SD SE SL SZ TR TZ UG ZW

US 20010034677	A1	EN			Related to Provisional US 2000185180
AU 200141684	A	EN			Based on OPI patent WO 2001063532
EP 1269373	A1	EN			PCT Application WO 2001US5752
					Based on OPI patent WO 2001063532

Regional Designated States,Original: AL AT BE CH CY DE DK ES FI FR GB GR
  IE IT LI LT LU LV MC MK NL PT RO SE SI TR

| JP 2003529827 | W | JA | 74 | | PCT Application WO 2001US5752 |
| | | | | | Based on OPI patent WO 2001063532 |

Method of processing **transaction** data
related to access to service provided via number of
service providers by retrieving transaction data from...

Original Titles:
...PROCEDE ET SYSTEME DE NORMALISATION DE DONNEES DE
TRANSACTIONS RELATIVES A DES ACCES A
UN SERVICE FOURNI PAR UNE PLURALITE DE FOURNISSEURS DE SERVICES...

...PROCEDE ET SYSTEME DE NORMALISATION DE DONNEES DE
TRANSACTIONS RELATIVES A DES ACCES A
UN SERVICE FOURNI PAR UNE PLURALITE DE FOURNISSEURS DE SERVICES

  Alerting Abstract ...authentication request from a network server (54) at
a remote ISP (10), and decrypts this **request**. The
transaction server (48) then determines a 'home' ISP
(18) by matching the roaming domain name of...

...a system to process **transaction** data
related to **access** to
service provided by several service providers a machine
readable medium...

Original Publication Data by Authority

Argentina

Assignee name & address:
Original Abstracts:

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...48) that serve to broker access authorization between a first service provider (10) and a <B>second service provider (18).
A dedicated load **process** is instantiated at **a transaction** broker (34) for **each** of the multiple transaction data sources (48). Transaction data is retrieved from the multiple transaction...

...transaction servers that serve to broker access authorization between a first service provider and a **second** service provider. A dedicated load process is instantiated **at** a **transaction** broker for each **of** the multiple **transaction** data **sources**. **Transaction** data **is** retrieved from the multiple transaction data sources, **each** dedicated load **process operating** to load transaction data **from** an associated **transaction data** source. By having a dedicated load processes **each** servicing an associated transaction data source, the provision of normalized transaction data in a near...

...48) that serve to broker access authorization between a first service provider (10) and a **second** service provider (18). A dedicated load process is instantiated at a **transaction** broker (**34**) for each of the multiple **transaction data** sources (48). **Transaction** data **is** retrieved from the **multiple** transaction data sources (48), **each** dedicated load **process operating** to load transaction data from an associated transaction data **source** (48). By **having each** dedicated load **process** servicing an associated transaction data source (48), the provision of normalized transaction data in a...

...L'invention concerne un procede de normalisation de donnees de **transactions relatives** a un acces a un service fourni par un fournisseur de services, qui permet de normaliser des **donnees de transactions** extraites de plusieurs sources de donnees de transactions, sous forme de serveurs (48) de transactions...
Claims:

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Patent   Application
Number   Kind Date   Number   Kind Date   Update
WO 2001035309   A1 20010517 WO 2000US31172 A 20001113 200149 B
AU 200116576   A   20010606 AU 200116576   A 20001113 200152 E

Priority Applications (no., kind, date): US 1999438240 A 19991112

Patent Details
Number   Kind Lan Pg Dwg Filing Notes
WO 2001035309   A1 EN   35   1
National Designated States,Original: AE AL AM AT AU AZ BA BB BG BR BY CA
   CH CN CR CU CZ DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP
   KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX NO NZ PL PT RO
   RU SD SE SG SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW
Regional Designated States,Original: AT BE CH CY DE DK EA ES FI FR GB GH
   GM GR IE IT KE LS LU MC MW MZ NL OA PT SD SE SL SZ TR TZ UG ZW
AU 200116576   A   EN   Based on OPI patent   WO 2001035309

   Alerting Abstract ...NOVELTY - **Two** or more periodic
trading system requests are received
and lists are compiled for each of a number of data intervals...
...apparatus for fulfilling **two** or more periodic
trading system requests a
method of charging customers for
signals **generated** by the execution of
trades and a **method** of operating
a trading system.
  ...

...ADVANTAGE - Operates a number of **different**
trading systems with **different**
parameters and **trading** intervals efficiently.

Original Publication Data by Authority

Argentina

Assignee name & address:
Original Abstracts:
 A < B> method of fulfilling **two**
or more periodic **trading**
system requests, in **which**
each of the **trading**
system requests is **associated**
with a data interval, a **trading**
system, and an **identifier**
representing a security is provided. The
system includes a master data server (1) which receives
data from one or more sources (2...

...device (6). Upon receiving a request, scheduler (7) reorganizes them in
a table of daily **trading system**
requests. A **trading system** initiates
a **buy or sell**
signal **based** upon **aggregare** interval
data. The **buy** or **sell** notice
is then transmitted to a customer (14...
Claims:

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28/3,K/15   (Item 15 from file: 350)
DIALOG(R)File 350: Derwent WPIX

0010766345 - Drawing available
WPI ACC NO: 2001-380421/200140
Related WPI Acc No: 2000-423092; 2001-450390
XRPX Acc No: N2001-278882
Computer based secondary **market** shares
transaction method for investment
companies, involves scanning database for matching **sell**
and **buy** orders and execution **trade**
upon match between **buy** and **sell** order
Patent Assignee: SHKEDY G (SHKE-I)
Inventor: SHKEDY G
Patent Family (1 patents, 1 countries)
Patent   Application
Number   Kind   Date   Number   Kind   Date   Update
US 6236972   B1 20010522 US 1998203843   A 19981202 200140 B
                   US 1998217663   A 19981221

Priority Applications (no., kind, date): US 1998203843 A 19981202; US
  1998217663 A 19981221

Patent Details
Number   Kind Lan Pg Dwg Filing Notes
US 6236972   B1 EN   31   15 C-I-P of application US 1998203843
Computer based secondary **market** shares
transaction method for investment
companies, involves scanning database for matching **sell**
and **buy** orders and execution **trade**
upon match between **buy** and **sell** order

  Alerting Abstract ...to buy order and buyer are stored in a database. The
database is scanned for **matching** sell and buy
orders. Trade is executed upon a match between sell and
buy order and confirmation of transaction...
...to buy order and buyer are stored in the database. The database is
scanned for **matching** sell and buy
orders. Trade is executed upon match between sell and
buy orders. Transaction confirmation is forwarded to...

Original Publication Data by Authority

Argentina

Assignee name & address:
Claims:
A computer based <B> method for
facilitating a **secondary**
market transaction
of shares of investment companies
between at least one buyer, an intermediate, and a seller,
comprising:receiving...

...storing said buy order and buy tracking identification to said
database;scanning the database for **matching** sell
and buy **orders**;binding the buyer to

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the intermediate; executing **trade** upon a match;
forwarding trade confirmation to
a transfer agent; andforwarding confirmations of
transaction to the buyer and the seller.

28/3,K/19   (Item 19 from file: 350)
DIALOG(R)File 350: Derwent WPIX
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0009226661 - Drawing available
WPI ACC NO: 1999-153147/199913
XRPX Acc No: N1999-110420
Least cost routing selecting method in telecommunication system
Patent Assignee: MCI COMMUNICATIONS CORP (MCIC-N)
Inventor: LITZENBERGER P D
Patent Family (1 patents, 1 countries)
Patent   Application
Number   Kind Date   Number   Kind Date   Update
US 5870460   A   19990209 US 1995455220   A   19950531 199913 B
                    US 1997876249   A   19970616

Priority Applications (no., kind, date): US 1995455220 A 19950531; US
  1997876249 A 19970616

Patent Details
Number   Kind Lan Pg Dwg Filing Notes
US 5870460   A   EN   9   3 Continuation of application US
  1995455220

Assignee name & address:
Original Abstracts:
...allocates data links between a switch and a database for data
transactions in a telecommunications < B> network. The data
links between the switch and the database carry the
transaction data for providing routing, card verification...

...the least cost routing between the switch and the database, until the
volume of data **transactions** in the data
links associated with that **database**
exceeds a predetermined threshold level. If the threshold level is
exceeded, the next least "expensive" database is selected, and its data
links are utilized used **to** carry the data
transactions between the database and the switch.
Claims:
A telecommunications system for **selecting** the least cost
routing of a database transaction, comprising: at least
two intelligent **platform** means
for providing **information** associated
with the transaction, wherein **each** intelligent
platform means **includes** substantially
identical information required for
processing the transaction; **each**
intelligent platform means having
first **ends** of **at** least
two data links connected thereto for
selectively carrying **information**
associated with the **transaction**; anda switch,

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communicatively coupled **with** the intelligent
platform means via **second** connected
ends of the data links for routing a telephone call through a network
excluding...
transaction traffic on **one** of the
data links of the first platform
means is above the preselected threshold, selectively
switching transactions to the other
data link, for as long as the threshold thereon is not exceeded; and(
c) if the **transaction** traffic on both
of the data links of the first platform means is above the preselected
threshold, selectively switching **transactions**
to the data **links**
associated with a second intelligent
platform means.

....

28/3,K/20   (Item 20 from file: 350)
DIALOG(R)File 350: Derwent WPIX
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0009127428 - Drawing available
WPI ACC NO: 1999-048147/199905
XRPX Acc No: N1999-035264
Processing procedure for financial transaction data in electronic payment
system - generating data record with header data in which information
concerning payment transaction is stored with additional data record
generated before further payment transaction begins
Patent Assignee: IBM CORP (IBMC); INT BUSINESS MACHINES CORP (IBMC)
Inventor: BUBLITZ; BUBLITZ H; BUBLITZ H R; NEWTH A R
Patent Family (7 patents, 27 countries)
Patent   Application
Number   Kind Date   Number   Kind Date Update
EP 887777   A2 19981230 EP 1998108939   A 19980515 199905 B
DE 19727386   C1 19990107 DE 19727386   A 19970627 199905 E
JP 11025191   A   19990129 JP 1998164748   A 19980612 199915 E
US 6029152   A   20000222 US 1998106428   A 19980629 200017 E
EP 887777   B1 20050126 EP 1998108939   A 19980515 200510 E
DE 69828722   E   20050303 DE 69828722   A 19980515 200517 E
                            EP 1998108939   A 19980515
DE 69828722   T2 20060112 DE 69828722   A 19980515 200611 E
                            EP 1998108939   A 19980515

Priority Applications (no., kind, date): DE 19727386 A 19970627; EP
  1998108939 A 19980515

Patent Details
Number   Kind Lan Pg Dwg Filing Notes
EP 887777   A2 EN   7   1
Regional Designated States,Original: AL AT BE CH CY DE DK ES FI FR GB GR
  IE IT LI LT LU LV MC MK NL PT RO SE SI
JP 11025191   A   JA   7
EP 887777   B1 EN
Regional Designated States,Original: DE FR GB
DE 69828722   E   DE   Application EP 1998108939

Based on OPI patent   EP 887777
DE 69828722   T2 DE   Application EP 1998108939
Based on OPI patent   EP 887777

Original Publication Data by Authority

Argentina

Assignee name & address:
Original Abstracts:
The invention relates to a procedure < B> for processing
data, especially **transaction** data, in an electronic
payment system, whereby the electronic payment system includes a minimum of
...

...The invention relates to a procedure for **processing**
data, especially **transaction** data, in an electronic
payment system, whereby the electronic payment system includes a minimum of
...
Claims:
...following process steps:
  a) generation of a data record (1) which
includes header data,
  b) **execution** of a payment
transaction (**2**) by means of the
minimum of **one payment** terminal,

c) storage of **information** (3) concerning the payment
transaction in the data record,
  d) flagging the
data record (6) as a shadow data record...

...a data record (1) which includes header data,b) executing at least one
payment transaction (**2**) by means of the at least
one payment terminal,c) **storing**
information (**3**) **concerning**
each of said payment transaction(s) after
each execution of **said** payment
transaction(s) **in** the data record,
and
characterized by the steps of,d) flagging the data record (6)...

 28/3,K/21   (Item 21 from file: 350)
DIALOG(R)File 350: Derwent WPIX
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0008790820 - Drawing available
WPI ACC NO: 1998-335643/199830
XRPX Acc No: N1998-261962
Computer system with data transaction delivering device between data buses
- has ghost base address register that aids in determining which of devices
on second data bus is target of transaction initiated by first device
Patent Assignee: COMPAQ COMPUTER CORP (COPQ)
Inventor: HAUSAUER B S
Patent Family (6 patents, 26 countries)
Patent   Application
Number   Kind Date Number   Kind Date Update
EP 851361   A1 19980701 EP 1997310689   A 19971231 199830 B

49

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JP 10301893    A  19981113 JP 1997370468   A  19971226  199905 E
US 6070209     A  20000530 US 1996777575   A  19961231  200033 E
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Priority Applications (no., kind, date): US 1996777575 A 19961231; EP
  1997310689 A 19971231; US 1998196373 A 19981119
Patent Details
```
Number      Kind Lan  Pg  Dwg  Filing Notes
EP 851361       A1  EN   14    5
Regional Designated States,Original:  AL AT BE CH DE DK ES FI FR GB GR I E
  IT LI LT LU LV MC MK NL PT RO SE SI
JP 10301893     A  JA    40
US 6070209      A  EN          Continuation of application  US
  1996777575
EP 851361       B1  EN
Regional Designated States,Original:  DE FR GB I T
DE 69725687     E  DE          Application  EP 1997310689
                     Based on OPI patent  EP 851361
```

Original Publication Data by Authority

Argentina

Assignee name & address:
Original Abstracts:
 A bridge device for delivering data transactions between devices on
< B> two data buses in **a** computer
system includes, for each pair of devices that may
transact across the bridge device, a dedicated...
...A bridge device for delivering data transactions between devices on
two data buses in a
computer system includes, for each
pair of devices that may transact across the bridge device, a dedicated...

...A computer **system** comprising: **two**
data **buses**, **one** of which is
configured to receive from at least **one** data
processing device, requests to write data to or read
data from at least one other data...

...on one of the data buses; a bridge device interposed between the data
buses and **configured** to implement an ordering scheme
that **enables** the bridge device to; receive a write
request and **then** a **subsequent**
request, in that **order**, from the
one data bus, and deliver the
subsequent request and **then** the write
request, in that **order**, to the other
data bus; wherein the bridge device is configured to use the grant

 28/3,K/25   (Item 25 from file: 350)
DIALOG(R)File 350: Derwent WPIX
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0008047917 - Drawing available
WPI ACC NO: 1997-142286/199713
XRPX Acc No: N1997-117808

Distributed transaction processing system e.g. for computer - processes
object inclination transaction and taken type transaction and co-ordinating
them so that transaction result depends on results of both of them
Patent Assignee: IBM CORP (IBMC); INT BUSINESS MACHINES CORP (IBMC)
Inventor: FREUND T J; HOLDSWORTH S A J; SMITH S A; STANLEY A S; THOMAS J F
Patent Family (2 patents, 2 countries)

Patent Number	Kind	Date	Application Number	Kind	Date	Update	
JP 9022356	A	19970121	JP 1995316943	A	19951205	199713	B
US 6138169	A	20001024	US 1994355870	A	19941214	200055	E
			US 1997840999	A	19970422		

Priority Applications (no., kind, date): US 1994355870 A 19941214; US
1997840999 A 19970422

Patent Details

Number	Kind	Lan	Pg	Dwg	Filing Notes
JP 9022356	A	JA	19	8	
US 6138169	A	EN			Continuation of application US
1994355870					

Alerting Abstract ...The system performs an object inclination
transaction when an object inclination **transaction**
request is received through two or more programming
interfaces of a first co-ordinator of necessary...

Original Publication Data by Authority

Argentina

Assignee name & address:
Claims:
...in an object oriented application; second means for requesting
transaction processing through said plurality of
procedural programming interfaces from a procedural
transaction processing **system**, said
second means for requesting returning a
second result;
means for **invoking**
one or more object oriented
processing methods from said procedural coordinator said
object oriented **processing** methods
being **methods** of said means for managing object oriented
transactions; and means for coordinating atomic transaction completion...

0007976518 - Drawing available
WPI ACC NO: 1997-067611/199707
XRPX Acc No: N1997-055608
Control system for transaction flow in computer system with master and
slave devices - has logic unit forwarding request to slave processor on
local address bus immediately on determining its validity for processing
Patent Assignee: SUN MICROSYSTEMS INC (SUNM); VAN LOO W C (VLOO-I)

Inventor: VAN L W C; VAN LOO W C
Patent Family (6 patents, 8 countries)

Number	Kind	Date	Number	Kind	Date	Update
EP 752666	A2	19970108	EP 1996110736	A	19960703	199707 B
JP 9172460	A	19970630	JP 1996194173	A	19960705	199736 E
US 5854906	A	19981229	US 1995498729	A	19950706	199908 E
			US 1997960999	A	19971030	

Patent   Application

Priority Applications (no., kind, date): US 1995498729 A 19950706; US
  1997960999 A 19971030; US 1998179048 A 19981026; US 2001875234 A
  20010605

Patent Details

Number	Kind	Lan	Pg	Dwg	Filing Notes
EP 752666	A2	EN	25	9	

Regional Designated States, Original: DE FR GB IT NL SE

JP 9172460	A	JA	26	

US 5854906   A   EN   Continuation of application US
  1995498729
US 6260174   B1 EN   Continuation of application US
  1995498729
                        Division of application US 1997960999
  Alerting Abstract ...A second logic determines whether one transaction
request is directed to one slave device on the same
address bus as the processor issuing...

Original Publication Data by Authority

Argentina

Assignee name & address:
Original Abstracts:
...master interfaces, one or more slave interfaces, and an interconnect
system controller which provides dedicated < B> transaction
request queues for **each**
master interface and controls the forwarding of
transactions to each slave interface. The master interface keeps...

...master interfaces, one or more slave interfaces, and an interconnect
system controller which provides dedicated **transaction**
request queues for each master interface and controls
the forwarding of
transactions to each slave interface. The master
interface keeps track of the number of requests in...

...of transaction requests that maximizes resource utilization and
throughput, and minimizes latency. An interconnect system
controller provides dedicated
transaction request queues for master
interfaces and controls the forwarding of **transactions**
to slave **interfaces**. **The** master
interface keeps track of the number of requests in the dedicated queue in
the...

Claims:
...said predetermined criteria are met; and   second logic configured to
determine whether a first said **transaction**
request is directed **to**

a first said slave device on the same address bus as the
processor issuing said first **transaction**
request, and if **so**
to issue a validity signal to said first slave device
indicating, if said predetermined criteria are met, that said first
transaction request is valid
for said first slave device to
process...

...said predetermined criteria are met; and second logic configured to
determine whether a first said **transaction**
request is directed to a first said slave device on the
same address bus as the processor issuing **said**
first transaction
request, and if so to issue a validity signal to said
first slave device indicating, if said predetermined
criteria are met, that said first
transaction request is valid for said
first slave device to process.
...device via an address bus, the method including the steps of: (1)
issuing a first **transaction request**
from a first said master device via a first said address bus to a first
said system controller, said first
transaction request designated for
processing by a first said slave device; (
2) receiving said first **transaction**
request at said first system controller and at any said
slave device coupled to said first address bus; (3) determining whether
predetermined validity criteria are
met for said first slave device to **process** said
first transaction
request, and **if so**
then proceeding to **step** 4, and otherwise at least
temporarily halting processing of said first **transaction**
request; (4) determining whether said first slave device
is coupled to said first address bus, and if so proceeding to
step 6, and otherwise proceeding to
step 5; (5) processing said first **transaction**
request by said first slave device, and
proceeding to step 7; (6) forwarding
said **transaction request** from said
system controller for delivery to said first slave device; and (7) ceasing
handling of said first **transaction**
request by said system controller.

....

28/3,K/27   (Item 27 from file: 350)
DIALOG(R)File 350: Derwent WPIX
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0007898357 - Drawing available
WPI ACC NO: 1996-222175/199622
XRPX Acc No: N1996-186424
Facilitating trade in goods and services - determining whether data
representing subsequent action in fulfilment of contract satisfies
contract, based on stored purchase order data representing contract between
buyer and seller
Patent Assignee: FULL SERVICE TRADE SYSTEM LTD (FULL-N); TRADECARD INC
 (TRAD-N); WORLD TRADE CENTERS ASSOC INC (WORL-N)

53

Inventor: LYNCH C J; TOZZOLI G F
Patent Family (12 patents, 63 countries)

Patent   Application
Number   Kind Date Number   Kind Date Update
WO 1996012242   A1 19960425 WO 1995US12925   A 19951005 199622 B
AU 199539512   A 19960506 AU 199539512   A 19951005 199636 E
GB 2308210   A 19970618 WO 1995US12925   A 19951005 199727 E
                           GB 19977485   A 19970411
                           WO 1995US12925   A 19951005

Priority Applications (no., kind, date): US 1994323071 A 19941013; US
   199820740   A 19980209

Patent Details
Number   Kind Lan Pg Dwg Filing Notes
WO 1996012242   A1 EN   54   5
National Designated States, Original: AM AT AU BB BG BR BY CA CH CN CZ DE
   DK EE ES FI GB GE HU IS JP KE KG KP KR KZ LK LR LT LU LV MD MG MN MW MX
   NO NZ PL PT RO RU SD SE SG SI SK TJ TM TT UA UZ VN
Regional Designated States, Original: AT BE CH DE DK ES FR GB GR IE IT KE
   LU MC MW NL OA PT SD SE SZ UG
AU 199539512   A EN   Based on OPI patent   WO 1996012242
EP 1345145   A2 EN   Division of application EP 1995937387

                     Division of patent EP 789884
Regional Designated States, Original: AT BE CH DE DK ES FR GB GR IE IT LI
   LT LU LV MC NL PT SE SI

  Alerting Abstract ...data representing a contract between a buyer and a
seller, and specified by a funder **relating** to
trade transactions for buyers and
sellers. The criteria is compared with a proposed purchase order to
determine...

...Subsequent documents **relating** to the original
purchase order are compared with the original purchase
order to ensure that the terms of the...

Original Publication Data by Authority

Argentina

Assignee name & address:
Original Abstracts:
A system (Figures 1 and 5) stores criteria (50) specified by a funder
(Figure 1) <B> relating to **trade**
transactions (900) for
buyers and sellers (Figures 1 and 5).
The system (Figures 1 and 5) compares the criteria (50...

...funder for the buyer to the seller. The system also compares subsequent
documents (610, 620) **relating** to an original
purchase order with the
original purchase order to ensure that the terms of the
purchase order are properly fulfilled (640...

...A system stores criteria specified by a funder
relating to **trade**
transactions for buyers and sellers. The system compares

the criteria with a **proposed purchase
order to** determine whether the system
can generate a payment guarantee on behalf of the funder for the buyer to
the seller. The system also compares subsequent documents
relating to an original **purchase**
order with the original purchase order to ensure that the
terms of the **purchase**
order are properly fulfilled. When the appropriate
conditions for payment are met, the system issues a...
funds transfer instruction...
...manual processing of documentation for compliance therewith, comprising
the steps of:comparing in a data **processing**
system first proposed contract data transmitted
internationally from at least one of a buyer and a seller and
second proposed **contract** data
transmitted by **the** other thereof with acceptable
contract data stored in the data processing system;establishing a contract
for international shipment of goods based on the comparison of the first
and **second** proposed contract data;
producing data in the data
processing system representing a
payment guarantee **to** the seller for payment under the
contract;**storing** in the data
processing system, purchase order
data representing selected terms of the contract for international shipment
of goods;receiving

28/3,K/28   (Item 28 from file: 350)
DIALOG(R)File 350: Derwent WPIX
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0007807992 – Drawing available
WPI ACC NO: 1996-435875/199644
Packet switched cache coherent multiprocessor system - includes master
interface for sending memory transaction requests to system controller and
for receiving cache access **request** corresp. to memory
transaction requests by other data processor
Patent Assignee: SUN MICROSYSTEMS INC (SUNM)
Inventor: COFFIN L F; EBRAHIM Z; KOHN L; LESLIE K; NARAD C E; NISHTALA S;
  NORMOYLE K; VAN L W C; VAN LOO W C
Patent Family (5 patents, 7 countries)
Patent   Application
Number   Kind Date   Number   Kind Date   Update
EP 735482   A1 19961002 EP 1996301927   A 19960321 199644 B
JP 9114795   A 19970502 JP 199678712   A 19960401 199728 E
US 5657472   A 19970812 US 1995414922   A 19950331 199738 E
EP 735482   B1 20030514 EP 1996301927   A 19960321 200333 E
DE 69628080   E 20030618 DE 69628080   A 19960321 200348 E
                  EP 1996301927   A 19960321

Priority Applications (no., kind, date): US 1995414922 A 19950331; EP
  1996301927 A 19960321

Patent Details
Number   Kind Lan Pg Dwg Filing Notes

55

...master interface for sending memory transaction requests to system
controller and for receiving cache access **request**
corresp. to memory **transaction** requests by other data
processor

  Alerting Abstract ...The system includes a data processor with a master
interface for sending memory **transaction**
request to the system controller. The master interface
includes at least two parallel independent outbound request queues for
storing memory transaction requests to be sent to the system controller.
Memory **transaction** requests in
different transaction classes are
stored by the data processor in different outbound request queues...
...The system controller includes a corresp. Interface coupled to the data
processor for receiving memory **transaction**
request from the data processor. The interface includes
at least two parallel independent incoming request queues...

Original Publication Data by Authority

Argentina

Assignee name & address:
Original Abstracts:
...transaction requests by other ones of the data processors. In the
preferred embodiment,each memory < B> transaction request is
classified **into one** of two
distinct master classes: a **first**
transaction class including read memory access requests
and a **second** transaction class including
writeback memory access requests. The
master interface and **system** controller have
corresponding parallel request queues, one for each master class, for
transmitting and receiving memory access requests. The system controller
further includes memory **transaction**
request logic for **processing**
each memory **transaction**
request and a **duplicate**
cache index having a set of duplicate cache tags
(Dtags), including one cache tag corresponding to...
cache **index having a**
set of duplicate cache tags (Dtags),
including **one** cache tag corresponding to each master
cache tag in an associated data processor.
Claims:
...modified by said data processor;
  said data processor including a
master interface, coupled to said **system** controller, for
sending memory **transaction** requests to said
system controller, said master

interface including **at** least **two**
parallel **independent** outbound request queues for storing
memory **transaction requests** to be
sent to said **system** controller; said
memory transaction requests including
a first **transaction class** that
includes read **memory transaction**
requests and a **second** transaction class that includes
writeback memory transaction requests, wherein memory transaction requests
in said first transaction class are stored by said data processor in a
first one of said outbound **request** queues and memory
transaction requests in said second
transaction class are stored by
said data processor in **a**
second one of said outbound request queues;
  said
system controller including a corresponding interface
coupled to said data processor for receiving memory transaction requests
from said data processor, said interface including at least two
parallel independent incoming **request**
queues for storing memory transaction requests received from said data
processor...

...

28/3,K/29   (Item 29 from file: 350)
DIALOG(R)File 350: Derwent WPIX
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0007712907 - Drawing available
WPI ACC NO: 1996-335657/199634
XRPX Acc No: N1996-282899
Relational database computer system - uses four on-line data definition
procedures to allow structure of database table or index to be altered
while table or index remains available for execution of transactions
Patent Assignee: COMPAQ COMPUTER CORP (COPQ); TANDEM COMPUTERS INC (TAND)
Inventor: CELIS P; MAIER D S; MARTON R S; TROISI J H
Patent Family (5 patents, 6 countries)

Patent Number	Kind	Date	Application Number	Kind	Date	Update
EP 723238	A1	19960724	EP 1996300429	A	19960123	199634 B
CA 2167790	A	19960724	CA 2167790	A	19960122	199645 E
US 5625815	A	19970429	US 1995377758	A	19950123	199723 E
			US 1996629000	A	19960412	
EP 723238	B1	20010919	EP 1996300429	A	19960123	200155 E
DE 69615230	E	20011025	DE 69615230	A	19960123	200171 E
			EP 1996300429	A	19960123	

Priority Applications (no., kind, date): US 1995377758 A 19950123; EP
  1996300429 A 19960123; US 1996629000 A 19960412

Patent Details

Number	Kind	Lan	Pg	Dwg	Filing Notes
EP 723238	A1	EN	42	7	
Regional Designated States,Original: DE FR GB IT SE					
CA 2167790	A	EN			
US 5625815	A	EN	43	7	Continuation of application US
1995377758					

EP 723238   B1 EN
Regional Designated States,Original: DE FR GB IT SE
DE 69615230   E DE   Application EP 1996300429
                  Based on OPI patent   EP 723238

Original Publication Data by Authority

Argentina

Assignee name & address:
Original Abstracts:
...storing records having primary key values in a primary key range
distinct from the other < B> partitions. A
transaction manager generates and stores an audit trail,
each audit entry denoting a database table record...

...having primary key values in a primary key range distinct from the other
partitions. A **transaction** manager generates
and stores an audit trail, each audit entry denoting a
database table record event, such as...
Claims:
...for accessing data in a first of said objects and storing corresponding
data in a **second** of said objects while allowing
continued performance of **computational**
transactions against said first
object;second phase instructions, for
execution **after** said first phase instructions, for
accessing said audit records in said audit trail created by...

 28/3,K/30   (Item 30 from file: 350)
DIALOG(R)File 350: Derwent WPIX
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0006893914 – Drawing available
WPI ACC NO: 1994-287376/199436
XRPX Acc No: N1994-226292
Synchronising transaction processing method in distribute system - involves
forwarding and receiving **request** and responses to
transaction requests using application program for
requester
Patent Assignee: INT BUSINESS MACHINES CORP (IBMC)
Inventor: GILES R A; GILLES R A; GRAFE R J; HADERLE D J; JACKSON R D; MOHAN
  C; REINSCH R A; SANDERS R R; SLONIM J; ZIMOWSKI M R
Patent Family (6 patents, 4 countries)
Patent   Application
Number   Kind Date   Number   Kind   Date   Update
EP 616284   A2   19940921 EP 1994301336   A 19940224 199436 B
CA 2119221   A   19940917 CA 2119221   A 19940316 199443 E
EP 616284   A3   19950329 EP 1994301336   A 19940224 199543 E
US 5455944   A   19951003 US 199331774   A 19930316 199545 E
US 5561797   A   19961001 US 199332089   A 19930315 199645 E
                  US 1995425675   A 19950418
CA 2119221   C   19980915 CA 2119221   A 19940316 199847 E

Priority Applications (no., kind, date): US 199332089 A 19930315; US
  199331774 A 19930316; US 1995425675 A 19950418

EIC3600 SEARCH RESULTS   7/13/2010

Patent Details
Number   Kind Lan Pg Dwg Filing Notes
EP 616284   A2 EN   28   6
Regional Designated States,Original: DE FR GB
CA 2119221   A EN
EP 616284   A3 EN
US 5455944   A EN   14   4
US 5561797   A EN   18   6 Continuation of application US
   199332089
CA 2119221   C EN

...involves forwarding and receiving **request** and
responses to **transaction** requests using application
program for requester

  Equivalent Alerting Abstract ...receiving a
transaction request to update a data
page...

Original Publication Data by Authority

Argentina

Assignee name & address:
Original Abstracts:
...free space inventory pages (FSIPs) describing field space information
relating to data pages. In a < B> transaction processing
system, **the** invention provides correct sequences for
logging of updates to FSIPs when the updates are required...
Claims:
...a plurality of resource systems, each including a database, including at
least one first resource **system** (320) for conducting
transaction operations in response to transaction requests under the
control of a single-phase transaction synchronization
procedure, and **at** least
one second resource **system** (340) for
performing **transaction operations** in
response **to transaction** requests
under the **control** of a multi-phase
transaction synchronization **procedure**
; and **a** communication **facility**
(360) connecting all said application **system** and
plurality of resource systems for communication therebetween,   the
method being characterised by the steps **of:**   executing
a transaction at an application system, the transaction including at least
one transaction resource...

...application site; otherwise,(b) if one or more first resource sites and
one or more **second** resource sites
performed database access **operations**
during the **transaction:**first, communicating
transaction commit requests
to all such **second** resource sites and
to the application requestor and commencing a multi-phase
transaction synchronization **procedure**
including all such **second** resource
sites **and** the application **requestor**,
communicating **transaction** synchronization
requests from the application requestor to

all such first resource sites, conducting single-phase
transaction synchronization
procedures at all **such** first
resource sites in response **to** the
transaction synchronization requests, and communicating
results of such single-phase transaction synchronization procedures to the
application...

 28/3,K/31   (Item 31 from file: 350)
DIALOG(R) File 350: Derwent WPIX
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0006584636 - Drawing available
WPI ACC NO: 1993-396946/199350
XRPX Acc No: N1993-306806
Transactional processing between information server and multiple work
stations - uses functional modules at server end and layered architecture
at work station end
Patent Assignee: BULL SA (SELA)
Inventor: ABDELMOUMNI M; BRUNON J; LI J
Patent Family (5 patents, 5 countries)

Patent			Application				
Number	Kind	Date	Number	Kind	Date	Update	
EP 574303	A1	19931215	EP 1993401459	A	19930608	199350	B
FR 2692058	A1	19931210	FR 19926933	A	19920609	199402	E
US 5596750	A	19970121	US 199371766	A	19930608	199710	E
EP 574303	B1	19990210	EP 1993401459	A	19930608	199911	E
DE 69323448	E	19990325	DE 69323448	A	19930608	199918	E
			EP 1993401459	A	19930608		

Priority Applications (no., kind, date): FR 19926933 A 19920609

Patent Details

| Number | Kind | Lan | Pg | Dwg | Filing Notes |
| EP 574303 | A1 | FR | 38 | 15 | |
Regional Designated States,Original: DE ES FR GB IT
| US 5596750 | A | EN | 36 | 15 | |
| EP 574303 | B1 | FR | | | |
Regional Designated States,Original: DE ES FR GB IT
| DE 69323448 | E | DE | | | Application EP 1993401459 |
                        Based on OPI patent EP 574303

Original Publication Data by Authority

Argentina

Assignee name & address:
Original Abstracts:
The present invention relates to a system < B> for
transaction processing between a computer-based server
(3) and a plurality of work stations (2), between...

...A **system** for **transactional**
processing between an information processing server (**3**)
and **a** plurality of workstations (**2**)
between which the jobs corresponding to activities constituting procedures
are executed, the system including, on...

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Claims:
...A **system** for transactional
processing, comprising: an information
processing server (3) and at least
one workstation (2) between which
jobs corresponding to activities defined by procedures are executed, the
server including a...scheduler module (30) for scheduling the execution of
the jobs, said scheduler module being operable **upon** the
completion **of** an activity to define a
next activity **and** create at least
one task **necessary** to complete the
next activity; a dispatcher module (33) for communicating between the
scheduler and...

28/3,K/32   (Item 32 from file: 350)
DIALOG(R)File 350: Derwent WPIX
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0006477047 - Drawing available
WPI ACC NO: 1993-282717/199336
XRPX Acc No: N1993-217255
Distributed transaction processing method - including processors
communicating with other processors and updating resources during
transaction and issuing commit message at end of transaction
Patent Assignee: INT BUSINESS MACHINES CORP (IBMC)
Inventor: BRADY M J; MALAIKA S; MEACOCK G
Patent Family (3 patents, 16 countries)

Patent			Application				
Number	Kind	Date	Number	Kind	Date	Update	
GB 2264796	A	19930908	GB 19924440	A	19920302	199336	B
WO 1993018454	A1	19930916	WO 1992GB1218	A	19920706	199338	E
EP 582681	A1	19940216	EP 1992914212	A	19920706	199407	E
			WO 1992GB1218	A	19920706		

Priority Applications (no., kind, date): GB 19924440 A 19920302

Patent Details

Number	Kind	Lan	Pg	Dwg	Filing Notes
GB 2264796	A	EN	33	6	
WO 1993018454	A1	EN	30	7	

National Designated States,Original: JP US
Regional Designated States,Original: AT BE CH DE DK ES FR GB GR IT LU MC
   NL SE

EP 582681	A1	EN	30	7	PCT Application WO 1992GB1218
					Based on OPI patent WO 1993018454

Regional Designated States,Original: DE FR GB

  Alerting Abstract ...commit resources for both client and server, both
programs effectively being part of a single **transaction**
or treated as **separate transactions**
respectively...

Original Publication Data by Authority

Argentina

Assignee name & address:
Original Abstracts:
A < B> method and **system** for distributed
transaction processing between first
and **second** transaction **processing**
means in communication with **each** other employs a client
program on the first transaction **processing** means which
calls a server program on the second transaction processing means. A first
type...

...means to commit resources independently so that the server program runs
as part of a **separate transaction.**

...

...A **method** and **system** for
distributed **transaction processing**
between first and **second** transaction
processing means in communication with
each other employs a client program on the first
transaction **processing** means which calls a server
program on the second transaction processing means. A first type...

...means to commit resources independently so that the server program runs
as part of a **separate transaction. >**
Claims:
...**commit resources for both client and server, both programs effectively
being part of a single transaction or treated as
separate transactions respectively...**

28/3,K/33   (Item 33 from file: 350)
DIALOG(R)File 350: Derwent WPIX
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0006301250 - Drawing available
WPI ACC NO: 1993-095677/199312
XRPX Acc No: N1993-073130
Transaction processing across two interconnected distributed networks -
converting respective unique
transaction protocols used by each network into
protocols that can be used by other network.
Patent Assignee: IBM CORP (IBMC); INT BUSINESS MACHINES CORP (IBMC)
Inventor: DANIELS D S; FREUND T J; HASKIN R L; STOREY R A
Patent Family (3 patents, 5 countries)

Patent Number	Kind	Date	Application Number	Kind	Date	Update	
EP 533407	A2	19930324	EP 1992308270	A	19920911	199312	B
JP 5219136	A	19930827	JP 1992209245	A	19920805	199339	E
US 5428771	A	19950627	US 1991761541	A	19910918	199531	E
			US 1994245845	A	19940519		

Priority Applications (no., kind, date): US 1991761541 A 19910918; US
  1994245845 A 19940519

SIRA   62
Delivering Technologies
for Patents

Patent Details
Number   Kind Lan Pg Dwg Filing Notes
EP 533407   A2 EN   18   8
Regional Designated States,Original: DE FR GB
US 5428771   A EN   20   Continuation of application US
    1991761541

...**converting** respective unique
transaction protocols used by each network into
protocols that can be used by other network.

Original Titles:
...ADJUSTMENT METHOD FOR **DIFFERENT** KINDS OF
TRANSACTION

Original Publication Data by Authority

Argentina

Assignee name & address:
Claims:
  1. A < B> method of **processing** a
transaction across **first** and
second interconnected **distributed**
networks, **each** network **having** unique
transaction **processing** protocols,
said method comprising
the steps of: converting a set of rules that define a
first transaction processing protocol for...

...first network into a second set of rules that define a second
transaction processing protocol **for** said second network;
converting first **transaction**
processing **information**, associated
with said first protocol into second transaction
processing information, associated with said second protocol; and
exchanging...

...A method wherein a protocol conversion bridge, in a computer
operating system, enables a
transaction to be processed across first
and second interconnected
distributed networks, **each** network
having unique **transaction processing**
protocols, said **method comprising** the
computer implemented **steps** of: converting a
first set of rules that define a first
transaction processing protocol for said first network
into a second set of rules that define a second transaction processing
protocol for said second network; **converting** first
transaction processing information, based upon said
first **protocol** into **second**
transaction processing information, based upon said
second protocol, in accordance with said second set of rules...

...transaction coordination responsibility from said first network to said
second network based upon a migrate **transaction**
coordination **request**, included in said second
transaction processing **protocol**,

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for Patents

transmitted **from** said second network to said first
network; synchronizing said first and second networks, subsequent to...

28/3,K/34   (Item 1 from file: 347)
DIALOG(R)File 347: JAPIO
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09310644   **Image available**
BUYING AND SELLING ORDER PLACEMENT SYSTEM, AND BUYING AND SELLING ORDER
PLACEMENT METHOD

PUB. NO.:   2008-016009 [JP 2008016009 A]
PUBLISHED: January 24, 2008 (20080124)
INVENTOR(s): SAITO MASAKATSU
        ABE YOSHINOBU
APPLICANT(s): KABU.COM SECURITIES CO LTD
APPL. NO.:   2007-059315 [JP 200759315]
FILED: March 09, 2007 (20070309)
PRIORITY: 2006-161201 [JP 2006161201], JP (Japan), June 09, 2006
        (20060609)

                    ABSTRACT

PROBLEM TO BE SOLVED: To provide a buying and selling
order placement system for sequentially placing a
buying and selling order to a
plurality of transaction performance systems<
;/B> such as an exchange system and PTS for
performing a buying and selling
transaction based on one buying and
selling consignment order accepted from an orderer on a
buying and selling order of stock or the like.

SOLUTION: Information on the buying and selling...

... order accepted from the orderer is stored in an order record, and
information on the buying and selling
order placed to the transaction performance
system such as the exchange and PTS is stored in an
order placement record, and the order placement record placed to
two or more different transa
ction performance systems is related&
lt;/B> to the one order record so that consecutive
order placement of the buying and
selling order to the plurality of the
transaction performance systems can
be achieved. Information on an agreement status of the
buying and selling consignment order
and transition to a second transaction</B> system is stored in the order record, and
thereby necessity of the consecutive order placement is...

...applied to a repayment order of margin trading, consecutive order can be
placed to a market different from a
market to which a new open interest is ordered.

EIC3600 SEARCH RESULTS   7/13/2010

08448310   **Image available**
FOREIGN CURRENCY FUND TRADE SUPPORT SYSTEM, PROGRAM, AND METHOD

PUB. NO.:   2005-196570 [JP 2005196570 A]
PUBLISHED: July 21, 2005 (20050721)
INVENTOR(s): USUI NAOTO
APPLICANT(s): NOMURA RESEARCH INSTITUTE LTD
APPL. NO.:   2004-003229 [JP 20043229]
FILED: January 08, 2004 (20040108)

                    ABSTRACT
...and the like to easily deal a foreign currency fund.

SOLUTION: This foreign currency fund trade support
system 2 is provided with an agency
fellow system 4 installed in the agency fellow side. In...

... 4 transmits an exchange rate applied to an order of the order
notification to the sales company system</B& trade information transmitted
from the sales company system 8a,
that is, trade information representing a
purchase (sold) amount of the foreign currency fund by
Japanese yen currency is received, and foreign currency
trade information matching the
received yen currency trade information, that is, trade information
representing a purchase (sold) amount...

876300
TITLE: An Analysis of Own Account Trading by Dual Traders in Futures
    Markets: A Bayesian Approach.
 AUTHOR(S): Chakravarty, Sugato; Li, Kai
 AUTHOR(S) AFFILIATION: Unlisted; Unlisted
 PUBLICATION INFORMATION: Purdue University, Department of Economics,
    Purdue University Economics Working Papers PAGES: 52 pages
 PUBLICATION DATE: 2000
 LANGUAGE: English
 DOCUMENT TYPE: Working Paper
 ABSTRACT INDICATOR: Abstract

...ABSTRACT: traders' own account trading and whether or not they are
   informed traders. We estimate our system of
     equations on each of the 101 most
   active dual traders in the data,
   using the Markov chain Monte Carlo (MCMC) method. We
     find that dual traders are
     informed traders who do not appear to piggyback off
   their customers' trades; whose own account trading reflects...

... also show that dual traders are heterogeneous in terms of their trading skills and other trade-related characteristics.

V. Additional Resources Searched

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Publication Stage
(B1) Granted patent as first publication
Patent Number
US7383220 B1 20080603 [US7383220]
Title
(B1) Automated short term option order processing
Abstract
A trading process automatically requests a short term option having a term of less than a minute, and sometimes less than a second, from a market process. The trading process and the market process both operate on a platform. The market process requests a platform service to set a timer to measure the expiration time of the short term option, and to notify the market process and the trading process at the expiration of the short term option. The short term option is particularly useful for a list of orders that must be executed, if at all, at a guaranteed price; in which case, the platform may adjust the expiration time of the short term options associated with the orders in the list to ensure that the orders in the list can be executed at particular respective prices.
Application Nbr
US09802088 20010308 [2001US-0802088]
Filing Details
CIP of: US09546031 20000410 [2000US-0546031]
Priority Details
US80208801 20010308 [2001US-0802088]
US54603100 20000410 [2000US-0546031]
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30/11/09 1 20'59'10
41/ 140-PLUSPAT-© Questel
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Publication Stage
(A1) First published patent application
Publication Stage 2
(B2) Granted patent as second publication
Patent Number
US2007005488 A1 20070104 [US20070005488]
Patent Number 2
US7383222 B2 20080603 [US7383222]
Title
(A1) ROUTING CONTROL FOR ORDERS ELIGIBLE FOR MULTIPLE MARKETS
Abstract
Trading processes are operative to route orders from order rooms to market processes, which process the orders according to respective market methodologies. The order routing strategy can be embodied in a decision table having rules with conditions and actions to be taken when the conditions are true.

Accordingly, order rooms can readily configure and reconfigure trading processes.

Application Nbr
US11469470 20060831 [2006US-0469470]
Filing Details
Division of: US09801495 20010308 [2001US-0801495]
CIP of: US09546031 20000410 [2000US-0546031]
Previous Publication: US20070005488 A1 20070104
Priority Details
US46947006 20060831 [2006US-0469470]
US80149501 20010308 [2001US-0801495]
US54603100 20000410 [2000US-0546031]
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54/140-PLUSPAT-©Questel
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Publication Stage
(B1) Granted patent as first publication
Patent Number
US7136834 B1 20061114 [US7136834]
Title
(B1) Electronic securities marketplace having integration with order management systems

Abstract
An electronic trading marketplace (ETM) communicates with interfacing modules interfacing directly with order management systems (OMS's) at trading institutions. The interfacing modules automatically transmit orders from the OMS databases to the ETM and update the OMS databases in response to orders executed at the ETM. Traders can communicate with the ETM to anonymously negotiate trades of securities.

Application Nbr
US09834171 20010412 [2001US-0834171]
Filing Details
Provisional Appl: US60242373 20001019 [2000US-P242373]
Priority Details
US83417101 20010412 [2001US-0834171]
US24237300P 20001019 [2000US-P242373]
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55/140-PLUSPAT-©Questel
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Publication Stage
(A1) First published patent application
Publication Stage 2
(B2) Granted patent as second publication
Patent Number
US2006253377 A1 20061109 [US20060253377]
Patent Number 2
US7555457 B2 20090630 [US7555457]

Title
(A1) Aggregated trading system

Abstract
A trading system is described herein for hosting a collection of one or more electronic exchanges. The collection of electronic exchanges may be made up of separately designated exchanges under one or more authorizing and regulating bodies. The trading system receives from traders bids to purchase and offers to sell a tradeable object listed at one of the electronic exchanges. Then, the trading system directs the bids and offers to the appropriate exchange where the bids and offers may be automatically matched in the corresponding market. The trading system may also be used to take actions in one or more markets that are internal and external to the trading system on behalf of a trader using preprogrammed trading instructions.

Application Nbr
US11415863 20060502 [2006US-0415863]

Filing Details
Continuation of: US10702288 20031106 [2003US-0702288]
Previous Publication: US20060253377 A1 20061109
30/11/09 4 20´59´10

Priority Details
US41586306 20060502 [2006US-0415863]
US70228803 20031106 [2003US-0702288]

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92/ 140-PLUSPAT-©Questel

Publication Stage
(D0) Patent application filed

Publication Stage 2
(A) Published patent application

Patent Number
GB0313935 D0 20030723 [GB200313935]

Patent Number 2
GB2386229 A 20030910 [GB2386229]

Title
(D0) Systems and methods for linking bids and offers in a trading interface

Abstract
Systems and methods of the present invention are directed particularly towards linking bids and offers (406) related to the same or similar items (e.g., currency, stocks, bonds, futures contracts, energy). A user may enter parameters (402) for linking bids and offers. The parameters may be entered (404) prior to, or concurrently with, the entry of the bids and offers. In response, the trading system may generate an offer and a bid (408) substantially simultaneously which may reduce the adverse affects of changed market conditions on the latter of an entered bid or offer.

Application Nbr
GB0313935 20011207 [2003GB-0013935]

PCT Application Number
WOUS0147464 20011207 [2001WO-US47464]

Priority Details
WOUS0147464 20011207 [2001WO-US47464]
US25179000P 20001207 [2000US-P251790]
US99569801 20011129 [2001US-0995698]

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107/ 140-PLUSPAT-© Questel
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Publication Stage
(A1) First published patent application
Publication Stage 2
(B2) Granted patent as second publication
Patent Number
US2002091617 A1 20020711 [US20020091617]
Patent Number 2
US7472087 B2 20081230 [US7472087]
Title
(A1) Trading program for interacting with market programs on a platform
Abstract
A trading process having a trading methodology selected by a user is operative to interact with market processes having respective market methodologies. The trading process and the market processes are supported on a platform that also supports platform processes for providing services to the trading processes and market processes. The trading processes interact with each other and with external markets through the market processes.
Application Nbr
US09802025 20010308 [2001US-0802025]
Filing Details
CIP of: US09546031 20000410 [2000US-0546031]
Previous Publication: US20020091617 A1 20020711
Priority Details
US80202501 20010308 [2001US-0802025]
US54603100 20000410 [2000US-0546031]
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Publication Stage
(A1) First published patent application
Publication Stage 2
(B2) Granted patent as second publication
Patent Number
US2002049666 A1 20020425 [US20020049666]
Patent Number 2
US7321873 B2 20080122 [US7321873]
Title
(A1) Foreign exchange trading system
Abstract
Computer-implemented trading of financial products can include using a first communication channel to stream offering data for a plurality of different financial products from a server to a trading terminal. A second communication channel can be used to receive request for offers about ones of the financial products from the trading terminal. Such request can include user-specified parameters that modify or further specify characteristics of the desired products. Offers may then be determined for the product in accordance with the user-specified parameters and transmitted (over the second communication channel) back to the trading terminal. Each communication channel can be allocated a different priority

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and/or different level of system processing resources to optimize the allocation of system resources based on the criticality of data on each channel.

Application Nbr
US09935257 20010822 [2001US-0935257]
Filing Details
30/11/09 7 20°59'10
Provisional Appl: US60226843 20000822 [2000US-P226843]
Previous Publication: US20020049666 A1 20020425
Priority Details
US93525701 20010822 [2001US-0935257]
US22684300P 20000822 [2000US-P226843]
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Publication Stage
(A1) First published patent application
Publication Stage 2
(B2) Granted patent as second publication
Patent Number
US2002023045 A1 20020221 [US20020023045]
Patent Number 2
US7424452 B2 20080909 [US7424452]
Title
(A1) Method and system for initiating and clearing trades

Abstract
A system and method are provided for facilitating the exchange of data between one or more price providers and customers who communicate with the price providers through various portals, each of which may use it own data format. In transmitting data from customer to price provider, the data output 30/11/09 6 20°59'10
from each portal is normalized to a standardized format and then transmitted to the appropriate price provider(s) where the data exchanged with the various portals can be viewed by a trader at a single display or can be exchanged with an automated pricing engine. The customer may also be provided with a universal Web site at which a customer may access any of the portals' Web sites to simplify access for the customer as well.

Application Nbr
US09848931 20010504 [2001US-0848931]
Filing Details
Provisional Appl: US60207570 20000526 [2000US-P207570]
Provisional Appl: US60203324 20000511 [2000US-P203324]
Provisional Appl: US60202381 20000504 [2000US-P202381]
Previous Publication: US20020023045 A1 20020221
Priority Details
US84893101 20010504 [2001US-0848931]
US20238100P 20000504 [2000US-P202381]
US20332400P 20000511 [2000US-P203324]
US20757000P 20000526 [2000US-P207570]
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118/ 140-PLUSPAT-© Questel
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Publication Stage
(A1) First published patent application
Publication Stage 2
30/11/09 9 20^59^10
(B2) Granted patent as second publication
Patent Number
US2002013753 A1 20020131 [US20020013753]
Patent Number 2
US7110975 B2 20060919 [US7110975]
Title
(A1) Order matching system

Abstract
A order matching system which allows users to define and modify buy/sell order schedules for execution within one or more transaction destinations. The system uses order schedules and associated evaluation heuristics to evaluate and update order characteristics such as price and quantity based on user-specified criteria. The matching system comprises a user interface which can be connected over the internet to various transaction destinations through a schedule manager and a transaction order interface. The user interface provides users with the ability to obtain information concerning the status of their order account as well as the ability to enter or modify their order schedules. The order manager uses a schedule supervisor server to maintain a database containing order schedules and order status information and to execute variable evaluations on the basis of these order schedules and associated evaluation heuristics. The order manager also uses a transaction supervisor server to monitor the status of order fills and to update the database periodically. The transaction order interface receives and communicates information messages between various transaction destinations and the schedule manager. In this way, the order matching system allows users to specify the ways that various terms and conditions at which they are willing to transact may change over time in an automated fashion while still retaining the ability to intervene at any time.

Application Nbr
US09770108 20010125 [2001US-0770108]
Filing Details
Provisional Appl: US60177649 20000127 [2000US-P177649]
Previous Publication: US20020013753 A1 20020131
Priority Details
US77010801 20010125 [2001US-0770108]
US17764900P 20000127 [2000US-P177649]
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30/11/09 10 20^59^10
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Publication Stage
(A) Patent
Patent Number
US5864827 A 19990126 [US5864827]
Title
(A) System and method for providing an information gateway

Abstract
In a device and method to provide a gateway for the transfer of information between financial markets and customers, a processor is coupled to a customer system and to a financial market system. The processor receives transaction information from the customer system in a first format, converts it to a second format and transmits the transaction information to the financial market system. The processor

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receives an acknowledgment and a transaction confirmation from the financial market system in the second format, converts these to the first format and transmits the acknowledgment and the transaction confirmation to the customer system. The processor may also be coupled to a memory, where it stores tracking information relating to the transaction information, the acknowledgment and/or the transaction confirmation.

Application Nbr
US88373997 19970627 [1997US-0883739]
Priority Details
US88373997 19970627 [1997US-0883739]
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125/140-PLUSPAT-©Questel
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Publication Stage
(A) Patent
Patent Number
US5710889 A 19980120 [US5710889]
Title
(A) Interface device for electronically integrating global financial services
Abstract

An interface device for electronically integrating a plurality of financial services provided at different geographical locations and in different time zones, and delivering such services directly to a customer facility at any time requested by the customer. The customer connects to the system whenever desired to access each of the services, and the interface device stores and routes messages between the customers and each of the service providers at the respective times when the customers' facilities and the service providers' facilities are operative. The system can be accessed through a customer's standalone personal computer, local area network, and/or mainframe computer. The system also includes a variety of security functions that provide different levels of access to the services for different customers.

Application Nbr
US47416795 19950607 [1995US-0474167]
Filing Details
Division of: US392270 19950222 [1995US-0392270]
Priority Details
US47416795 19950607 [1995US-0474167]
US39227095 19950222 [1995US-0392270]
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132/140-PLUSPAT-©Questel
Publication Stage
(A) Patent
Patent Number
US5136501 A 19920804 [US5136501]
30/11/09 12 20°59'10
Title
(A) ANONYMOUS MATCHING SYSTEM
Abstract

A matching system for trading instruments in which bids are automatically matched against offers for given trading instruments for automatically providing matching transactions in order to complete trades for the given trading instruments, includes a host computer means (20) comprising means for anonymously matching active bids and offers in the system by trading instrument based on a variable

matching criteria, which comprises counterparty credit limit between counterparties (24a, 26b) to a potential matching transaction. The system also includes a transaction originating keystation (24a) for providing a bid on a given trading instrument to the system for providing the potential matching transaction; a counterparty keystation (26b) for providing an offer on the given trading instrument involved in the potential matching transaction; and network means (22) for interconnecting the host computer means (20), the transaction originating keystation (24a) and the counterparty keystation (26b) in the system for enabling data communications therebetween. Both the transaction originating keystation (24a) and the counterparty keystation (26b) for the potential matching transaction each have an associated counterparty credit limit, with the system (20) blocking completion of the potential matching transaction between the transaction originating keystation (24a) and the counterparty keystation means (26b) when the potential matching transaction has an associated value in excess of counterparty credit limit. The assigned credit limits may be reset or varied by the users (24a, 26b) to change the ability of the user or subscriber to effectuate deals.

Application Nbr
US35747889 19890526 [1989US-0357478]
Priority Details
US35747889 19890526 [1989US-0357478]
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Publication Stage
(A) Patent
30/11/09 13 20° 59' 10
Patent Number
US4674044 A 19870616 [US4674044]
Title
(A) Automated securities trading system
Abstract
Data processing based apparatus makes an automated trading market for one or more securities. The system retrieves the best obtaining bid and asked prices from a remote data base, covering the ensemble of institutions or others making a market for the relevant securities. Data characterizing each securities buy/sell order requested by a customer is supplied to the system. The order is qualified for execution by comparing its specifics against predetermined stored parameters. The stored parameters include the operative bid and asked prices, the amount of stock available for customer purchase or sale, and maximum single order size. Once qualified, the order is executed and the appropriate parameters are updated. The system provides inventory (position) control and profit accounting for the market maker. Finally, the system reports the executed trade details to the customer, and to national stock price reporting systems. Upon a change in the quoted price for a security, the system updates all relevant qualification parameters.
Application Nbr
US69640785 19850130 [1985US-0696407]
Priority Details
US69640785 19850130 [1985US-0696407]
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